



OFFICE OF THE VICE CHANCELLOR FOR RESEARCH  
Research Compliance Services

# Research Compliance Committee (RCC)

Quarterly Meeting: January 30, 2026

## Objectives

### Share Updates

Present progress across research compliance areas and the RCC.

### Reinforce Collaboration

Strengthen teamwork and cross-functional partnerships.

### Foster Discussion

Create space for input, questions, and collaborative problem-solving.

# Meeting Flow & Key Topics

## Compliance Updates

COI Program update, DOJ Bulk Data Rule, eShip Global, Biosketch and Other Support requirements.

## Subcommittee Progress

Project highlights from chairs and co-chairs

## Open Discussion

Questions, feedback, collaborative input



## Insights Survey

Purpose and participation

## Getting Involved

Opportunities for participation and engagement.

# What Is the Research Compliance Committee?

The Research Compliance Committee (RCC) serves as UNC Chapel Hill's central forum for coordinating, aligning, and strengthening research compliance across campus.

## Connects the Campus

Brings together research units to share information, surface issues, and work through challenges collectively.

## Aligns Strategy

Promotes consistent, effective compliance approaches while allowing for unit-level realities and flexibility.

## Central Coordination

Offers shared oversight, guidance, and visibility across all research compliance areas campus-wide.

# RCC Committee Structure

The RCC operates through an integrated structure that connects people, expertise, and leadership to improve coordination, clarify accountability, and strengthen communication across research compliance areas.

## Steering Group

Provides strategic direction and oversight, sets priorities, and keeps the RCC focused on campus needs.

## Research Community

A campus-wide network of investigators, staff, and administrators who share responsibility for research compliance excellence.



## Membership Body

Research compliance professionals and leaders from across campus who bring operational insight and subject-matter expertise.

## Link Subcommittees

Time-limited, focused teams that tackle specific work such as policy development, learning initiatives, process improvements, and risk management.

# Conflict of Interest Program Update



Where we are and why it matters

**Presenters:** Quinton Johnson & Raha Khademi

UNC is transitioning to a researcher-first annual COI disclosure model. This update covers current implementation status, what's changing, and what researchers and units should expect next.

# The Shift to an Annual, Researcher-First Model

## Current State (CY24)

- Approximately 60,000 COI disclosures submitted annually
- 1,576 project-specific management plans requiring review and approval
- Disclosure required for each new research project

## Future State

- One comprehensive annual disclosure per investigator
- Approximately 8,000 total COI disclosures campus-wide
- Fewer than 300 management plans annually
- Streamlined review tied to meaningful changes

### Measurable Impact

Fewer project start-up delays, giving researchers faster access to funding and the ability to begin work without unnecessary administrative hold-ups.

### Reduced Burden

Substantial reduction in repetitive administrative tasks for both investigators and compliance staff, freeing time for higher-value activities.

# What's Changing and What It Means

1

## Policy

New research-specific COI policies addressing both individual and institutional conflicts with greater clarity and precision.

2

## Process

Clearer, more intuitive workflows tied to annual disclosure cycles rather than each individual project submission.

3

## A little fresh AIR

AIR updates to support the annual model with improved user experience and admin. workflows.

4

## Training

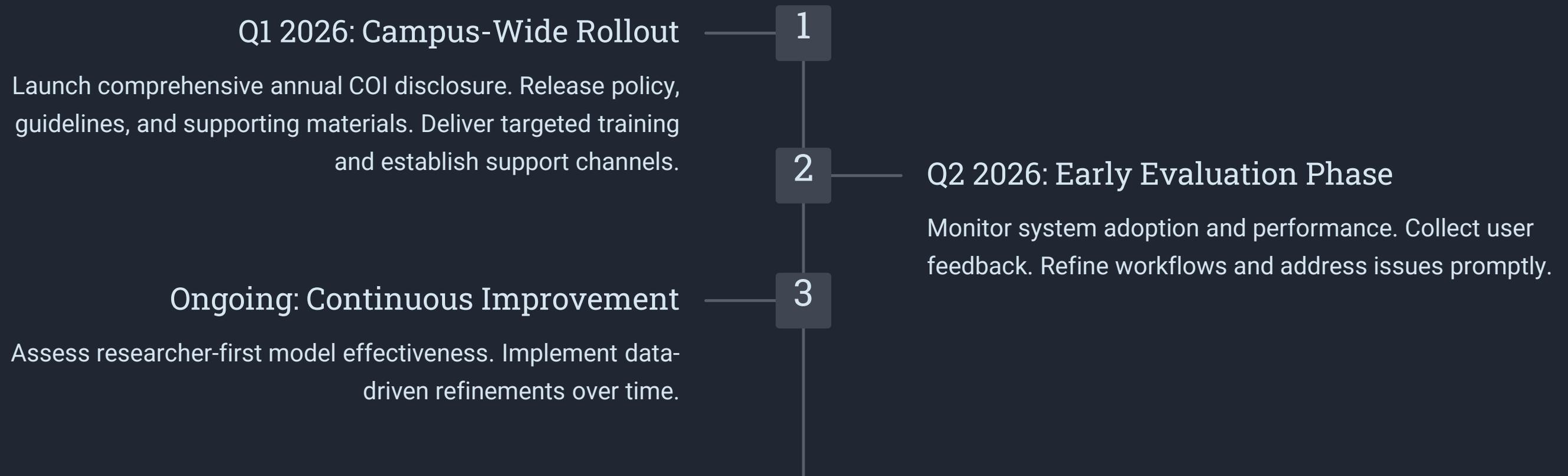
Shorter, more focused refresher training aligned with the annual disclosure timeline.



## What This Means for You

- **Less repetition:** Investigators complete one disclosure annually instead of repeating the same information for every project.
- **Quality over volume:** More time for quality review instead of volume processing.
- **Targeted updates:** Updates focus on real changes, not repeat reporting

# Next Steps: Implementation & Continuous Improvement



## Our Commitment

This plan reflects our commitment to a system that truly serves our research community. By monitoring outcomes and being responsive to feedback, we'll ensure the new COI framework delivers reduced burden and enhanced compliance.



FEDERAL COMPLIANCE

# DOJ Bulk Data Rule

**Presenter:** Quinton Johnson

The new DOJ Bulk Data Rule establishes heightened security standards for managing sensitive data in federally funded research.



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EFFECTIVE APRIL–JULY 2025

# Understanding the New DOJ Bulk Data Rule

Executive Order 14117 establishes critical safeguards to protect sensitive U.S. data from foreign adversaries. This rule applies to bulk transfers of genomic, biometric, health, financial, and geolocation data to six countries of concern. <https://www.ecfr.gov/current/title-28/chapter-I/part-202>

**📍 Countries of Concern:** China (including Hong Kong and Macau), Russia, Iran, North Korea, Cuba, Venezuela

## Data Covered at "Bulk" Levels



# Key Exemptions to Know

## Federal Research Safe Harbor

Data use explicitly allowed under U.S. government grants or contracts (NIH, NSF, DOE) is generally exempt from certain restrictions, provided the grant explicitly authorizes the data sharing.

## Clinical and Regulatory Exemptions



### Clinical Trial Exemption

FDA-regulated clinical investigations conducted under an Investigational New Drug (IND) or Investigational Device Exemption (IDE) application are exempt from the rule's restrictions.



### Regulatory Approval Exception

Sharing de-identified data for patent applications or regulatory drug approval abroad—including submissions to health authorities in Countries of Concern—is permitted under the rule.

*Exemptions do not eliminate the need for documentation. Institutions must maintain records demonstrating that transactions qualify under an exemption category.*

# Institutional Compliance & Enforcement

## "Knowledge" Standard

Liability applies if your institution *knew or should have known* a transaction involved a Country of Concern or Covered Person. Constructive knowledge means reasonable due diligence is required.

## Required Actions

- Establish a comprehensive **Data Compliance Program** with risk-based review protocols
- Maintain detailed documentation of all data transactions and security assessments
- **Report rejected prohibited transactions** to the Department of Justice within specified timeframes

## Penalties

### Civil Penalties

Up to approximately **\$368,000 per violation**

### Criminal Penalties

For willful violations: up to **\$1 million per violation** and imprisonment of up to **20 years**

# What Matters Most for Biomedical Research

Biomedical research institutions face unique challenges under this rule. Understanding these four key principles is essential for maintaining compliance while advancing scientific collaboration.



## No Flexibility for Human 'Omic Data

Bulk human 'omic data transactions with Countries of Concern are **always prohibited**, not merely restricted. There are no security standards that can make these transfers permissible.



## "Access" Includes Physical and Remote

Access is defined broadly to include remote logins, shared computing systems, cloud platforms, and physical access by visiting scholars or COC-affiliated researchers in U.S. labs.



## Biospecimens Count as Data Sources

Blood samples, tissue specimens, and other biological materials are treated as data sources under the rule. Transfers of biospecimens to COC-affiliated laboratories are prohibited.



## De-identification Doesn't Eliminate Risk

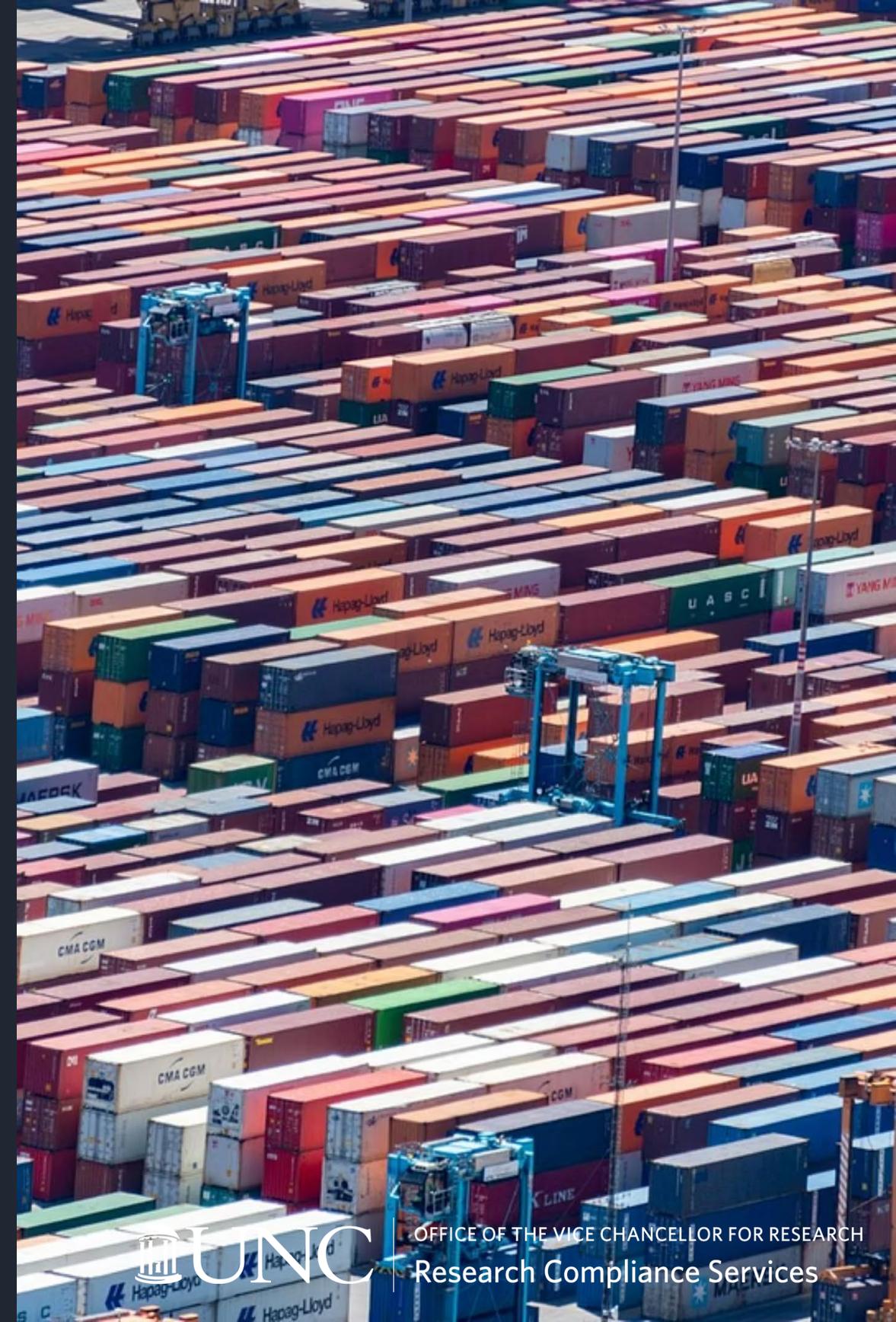
The rule applies even if data is anonymized, pseudonymized, or encrypted. Standard de-identification techniques do not exempt bulk 'omic data from the prohibition.

INTERNATIONAL OPERATIONS

# eShip Global: Addressing Shipping Compliance

**Presenter:** Tatiana Shapira

International research shipping involves compliance risks and delays. eShip Global is being implemented to automate compliance, streamline documentation, and track shipping review/approvals in real-time.





FEDERAL COMPLIANCE

# Biographical Sketch and Other Support Disclosures for Federal Research

**Presenter:** Dustin Yocum

An overview of new NIH Biosketch and Other Support requirements taking effect January 25, 2026, and plans for expanded institutional support.



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Research Compliance Services

# Research Insights Survey

The Research Insights Survey is an annual, confidential initiative led by the Office of the Vice Chancellor for Research, Research Compliance Services (OVCR-RCS). This survey is designed to capture **your day-to-day experience conducting and supporting research** at UNC–Chapel Hill.

Your honest feedback is invaluable. It directly informs strategic improvements to research support services, guidance resources, training programs, and compliance processes across campus. We're listening, and your voice shapes how we serve the research community.

## Who Should Participate

Faculty, postdocs, research staff, administrators—anyone whose work touches research at UNC–Chapel Hill

## Time Commitment

Approximately 15 minutes to complete.  
Your responses remain completely confidential

## Survey Window

Open for 3 more weeks. Take a moment to share your perspective before the deadline

Take the Survey

Learn More

<https://go.unc.edu/take-insights-survey-2026>





# Celebrating Our First 6 Months

A tremendous thank you to our Link subcommittees for an exceptionally strong start and unwavering dedication to enhancing research compliance at UNC Chapel Hill.

1

### 2026 RCS Insights Survey

Developed survey questions to capture perspectives on compliance challenges, support needs, and improvement opportunities.

8+

### Innovative Project Proposals

Initiated targeted improvement projects across all four Link subcommittees, addressing challenges in each focus area.

2

### New Resources Implemented

Launched several new resources already serving the research community.

# RCC Process Improvement Link

Simplify research processes, reduce administrative burden, and ensure compliance across the research enterprise.

## Meet the Process Improvement Link Team



**Katie Marsh, Chair**

Operations Manager, Clinical Research Support and Operations (CRSO)



**Amina Castro-Corbett, Co-Chair**

Research Navigator, Clinical Research Support and Ops (CRSO), Clinical Research Navigation Hub



**Brian Matson**

Process Improvement, Training, and Development Specialist, RAISE, Sponsored Projects Administration Office (SPA), SOM



**Daniela Miteva**

Research Coordinator, Department of Surgery, SOM



**Molly Pradhan**

Research Navigator, Clinical Research Support and Ops (CRSO), Clinical Research Navigation Hub



**Thu-Mai Lewis**

Assistant Director of Research Data Stewardship, Research Data Management Core (RDMC)

# Process Improvement Priority Scoring Tool

## Structured Decision-Making

Helps teams prioritize research processes for improvement using a clear, structured, and transparent approach that reduces guesswork and subjectivity.

## Align Cross-Functional Teams

Uses a shared scoring system to align perspectives across roles, ensuring consistent evaluation.

## Focus Where It Matters

Enables comparison to focus efforts on the highest-impact processes, maximizing improvement efforts.



24–30	Very High Priority
18–23	High Priority
12–17	Moderate Priority
6–11	Low Priority

# How to Evaluate and Prioritize Your Processes

01

## Select a Process

Choose a specific research process or workflow to evaluate for potential improvement opportunities.

03

## Calculate Total Score

Add all six scores together to determine the Total Priority Score, with a maximum possible score of 30 points.

[Preview the Tool](#)

02

## Rate on Six Criteria

Score each process from 1-5 on: Administrative Burden, Risk Exposure, Scope of Impact, Frequency of Use, Clarity of Ownership, and Feasibility of Improvement.

04

## Compare and Prioritize

Review scores across all evaluated processes. Higher scores indicate higher priority for improvement efforts and resource allocation.

# RCC Risk Management Link

Shape and support a proactive, centralized approach to managing research compliance risks.

## Meet the Risk Management Link Team



**Nathan Simms, Chair**

Director of Compliance and Risk Management, Office of the Dean, SOP



**Jamie Kauwell, Co-Chair**

Interim Director, Clinical Research Compliance Office (CRCO), Research Compliance Services



**Matthew Teal, Previous Co-Chair**

Associate Director of University Policy Office



**Ashleigh Jackson**

Pre-/Post-Award Research Administration SME, RAISE, Sponsored Projects Administration Office (SPA), SOM



**Dustin Yocum**

Associate Director, Science & Security Program, Research Compliance Services



**Heather Skinner**

Director of Compliance and Research Integrity, Office of Research (OoR), SOM



**Noelé Daniels**

OnCore Calendar and Budget Coordinator Research, Clinical Research Support and Ops (CRSO)



**Julie Titter**

Research Project Manager, Research Coordination and Management Unit (RCMU), North Carolina Translational and Clinical Sciences Institute (NC TraCS)

# International Research Risk Management Roadmap

A practical, comprehensive framework for proactively identifying, assessing, and addressing international research risks before they become compliance issues.

## How it helps:

- Emphasizes risk identification, prevention and early intervention rather than reactive corrective measures
- Formalizes a standardized risk assessment processes across all research units and departments involved with international research
- Provides researchers and administrators with practical tools and decision-making support



# Roadmap Mile Posts

We have developed four individual Mile Posts for the International Research Roadmap. Each Mile Post provides targeted activities and resources to help reduce compliance risk for a multitude of issues at different stages of the research lifecycle.

1

## International Researchers and Associated Location

Identify key personnel, collaborators, and geographic locations involved in research activities

2

## Actions and Risk Management Before the Start of Research

Complete essential assessments, approvals, and compliance checks prior to research initiation

3

## Actions and Risk Management During Research Study

Maintain ongoing monitoring, reporting, and risk mitigation throughout active research phases

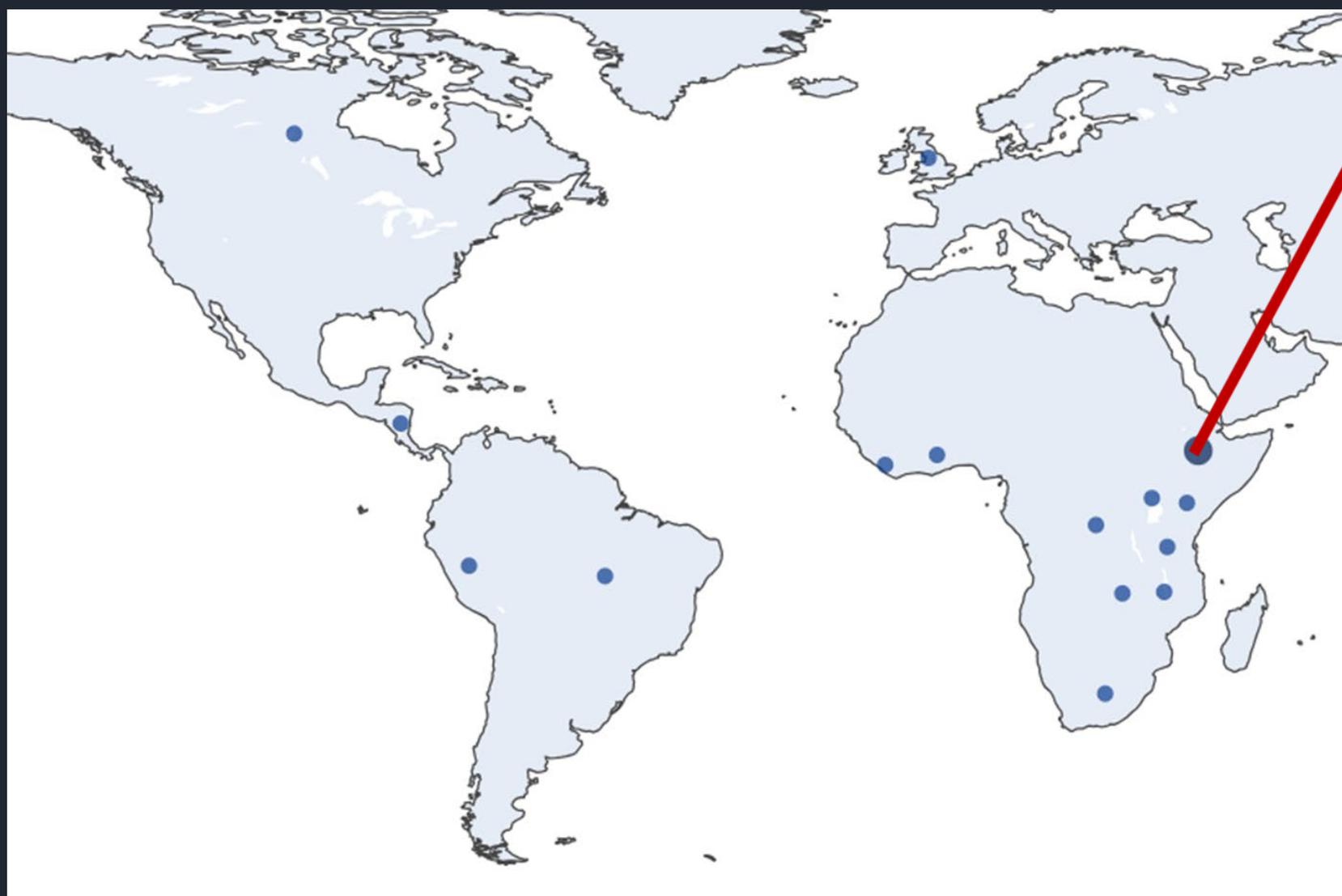
4

## Actions and Risk Management at the Conclusion of Research

Ensure proper closeout procedures, data handling, and final compliance documentation

# International Researchers and Location

Comprehensive tracking of international research personnel and their associated locations is critical for risk assessment and compliance planning. This database captures key investigators, research assistants, and external collaborators across multiple countries.



## Ethiopia

Staff: 57

- Adeyemi Ayankoya — Regulatory Associate
- Adugna Hora Chala — Research Assistant
- Alemayehu Sisay — External Site PI, Other, Co-investigator
- Alex Keil — Co-investigator
- Andrea Bankoski — Research Assistant
- Anthony Charles — Co-investigator, Faculty Advisor, Faculty Advisor
- Ashenafi Assefa Bahita — Co-investigator
- Belay Abebe — Other
- Belay Bayissasse — Study Coordinator
- Cheryl Hendrickson — Regulatory Associate
- Clark Gray — Faculty Advisor
- Cynthia Powell — Co-investigator
- Deanna Saylor — Co-investigator
- Deb Aikat — Faculty Advisor
- Elizabeth Fitch — Co-investigator
- Erica Zeno — Research Assistant
- Eugene Muratov — Co-investigator
- Faith Kanjira — Regulatory Associate, Research Assistant
- Hashiya Kana — Research Assistant
- Hina Shah — Other, Research Assistant
- Irena Dujmovic Basuroski — Co-investigator
- Isabela Gerdes Gyuricza — Research Assistant
- Jackie Koble — Research Assistant
- Jerusha Weaver — Study Coordinator, Research Assistant
- Jessica Daily — Study Coordinator, Research Assistant
- Jonathan Juliano — Co-investigator, Co-Investigator

# Actions and Risk Management Before the Start of Research

UNC Research  
Office of the Vice Chancellor for Research (OVCR)

## International Research Roadmap

Language: English

### 1. Orientation & Onboarding

- Complete UNC Research Compliance Orientation
- Confirm visa / work authorization

**Research Compliance Office** | **International Student & Scholar Services (ISSS)** | **Office of the Vice Chancellor for Research (OVCR)**

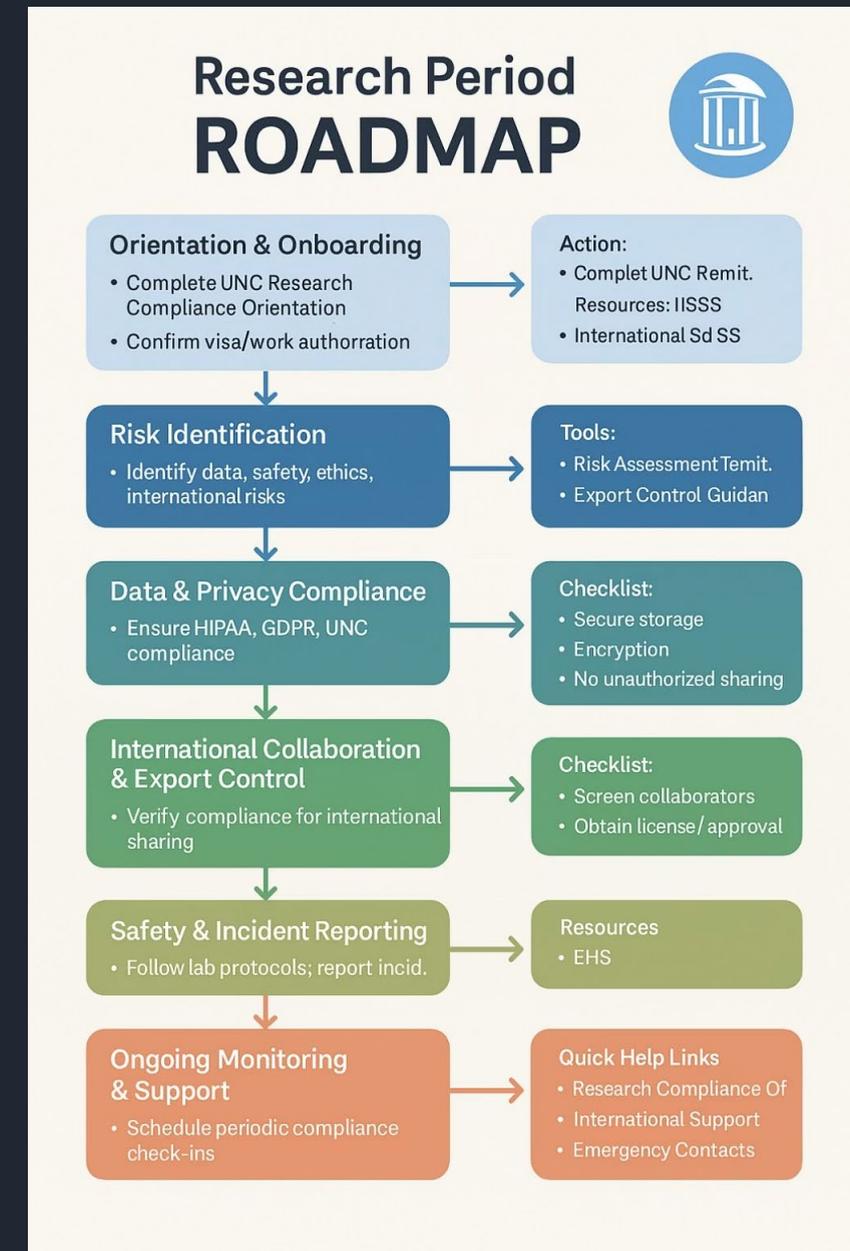
**Research Compliance Office:** Policies, training, and guidance for ethical, compliant research at UNC-CH.  
**ISSS:** Support for visas, work authorization, and international researcher onboarding.  
**OVCR:** Oversight and strategic support across UNC's research enterprise.

### 2. Risk Identification

- Identify data, safety, ethics, and international risks
- Consult the Risk Management Subgroup if unsure

**Risk & Compliance Resources** | **Export Control Guidance**

**Risk & Compliance Resources:** Tools and contacts to assess risks and align activities with UNC policies.  
**Export Control:** Determine if your project involves controlled technology, data, or collaborations that require licenses or restrictions.



# Support Tabs and FAQs

Navigate our comprehensive FAQ database and support portal to find answers to common questions about international research compliance, risk management procedures, and roadmap implementation.

## Frequently Asked Questions (FAQ)

- ▶ I'm new to UNC—where do I start?
- ▶ Do I need IRB approval for my study?
- ▶ What storage can I use for sensitive data?
- ▶ Can I share data or materials internationally?
- ▶ What is a DUA and when do I need it?
- ▶ Who helps with awards, budgets, and sponsor policies?
- ▶ I'm an international researcher—what about visas and changing labs?
- ▶ How do I report an incident or safety concern?
- ▶ Who do I contact when I'm unsure?

## Quick Help Links

### Research Compliance Office

Central hub for research integrity, training, and policy guidance.

[Visit site](#)

### International Support (ISSS)

Visa, employment authorization, and international onboarding.

[Visit site](#)

### Environment, Health & Safety (EHS)

Safety training, protocols, and incident reporting.

[Visit site](#)

### Office of Sponsored Programs (OSP)

Award management, sponsor requirements, and reporting support.

[Visit site](#)

### Data Use Agreements (DUA)

Processes and templates for compliant data sharing.

[Visit site](#)

### Global Partnerships

Resources and support for UNC's international collaborations.

[Visit site](#)

### OVCR

University-level services and strategic support across the research lifecycle.

[Visit site](#)

### SOM Office of Research (OoR)

School of Medicine resources, infrastructure, and funding opportunities.

[Visit site](#)

# Content to Build RoadMap Mile Posts 2-4

## 2. Financial and Contractual Close-Out

Main Heading:

- Resolve all financial and contractual obligations to both UNC accounts and sponsors.

Subheading:

### OSP

- Finalize Study Finances with the [Office of Sponsored Programs \(OSP\)](#)
  - Ensure all financial transactions related to the study are completed, including payments to vendors, research staff, and other parties.
- Resolve Outstanding Invoices and Study Expenses
  - Clear any remaining invoices for study-related services, lab costs, imaging services, and storage fees.
  - Process final payments for subcontractors or service providers.
- Reconcile Participant Payments
  - Confirm all stipends, reimbursements, and compensation have been processed.
  - Address any outstanding payments, overpayments, or financial discrepancies.
- Complete [OnCore](#) Financial Closeout
  - Ensure all study visits, participant milestones, and billing events have been reconciled.

- Verify that [OnCore](#) financial records match sponsor payments and institutional accounts.
- Learn more: [OnCore Financial Closeout Tipsheet \(PDF\)](#)
- Finalize Sponsor Invoicing and Payments
  - Ensure all invoices have been sent to the sponsor for payments due.
  - Verify that the study budget has been reconciled and that all payments have been received.
- Close Study-Related Financial Accounts
  - Review and reconcile all study-related accounts and ledgers.
  - Ensure funds are appropriately allocated or returned as required.
- Review and Closeout Study Contracts and Agreements
  - Ensure all contractual obligations with sponsors, vendors, and collaborators have been fulfilled.
  - Submit any required final reports or deliverables under the contract.
- Closeout Subawards and Subcontracts (if applicable)
  - Verify that all sub awardees have completed their work and financial reconciliations.
  - Ensure all final invoices and financial reports have been submitted.

TAGS: [Office of Sponsored Programs \(OSP\)](#), [OnCore](#), [RAMSeS](#)

# Ownership and Maintenance of International Research Roadmap

## Strategic Purpose

The International Research Roadmap is a dynamic web-based tool designed to help OVCR achieve strategic priorities and operational imperatives. It serves as a central resource for facilitating efficient research support and compliance across the institution.

## Ongoing Management Requirements

- Regular content updates and monitoring to ensure accuracy
- Consistent alignment with [Carolina's Research Roadmap](#), Operational Imperative Goal #2
- Accessibility maintenance for all users
- Integration with Research Roadmap objectives

## Recommendation for Path Forward

A recommended next step is for the RCC to work with the OVCR committee responsible for advancing Operational Imperative Goal #2 to identify ownership and long-term stewardship of the International Research Roadmap.

# RCC Learning Link

Strengthen compliance knowledge through training and outreach

## Meet the Learning Link Team



**Brent Eisenbarth, Chair**

Research Compliance Associate, Research Compliance Services



**Allison George**

Process Improvement, Training, and Development Specialist, RAISE, Sponsored Projects Administration Office (SPA0), SOM



**Eric Schumacher**

Educational Content Manager, Office of Human Research Ethics (OHRE)



**Samantha Thompson**

Senior Training & Communications Specialist, Office of Sponsored Programs (OSP)



**Paula Steele, Co-Chair**

Research Navigation Manager, OVCR Clinical Research Support and Operations



**Catherine Barnes**

Research Program Manager, North Carolina Translational and Clinical Sciences (NC TraCS) Institute



**Janette Goins**

Director of Nursing, NC TraCS Institute, Clinical and Translational Research Center (CTRC)



**Sarah Davis**

Director of Operations and Special Projects, Office of the Vice Chancellor for Research (OVCR)

# Communications Channels & Fora

 COMPLETED PROJECT

## The Challenge

Researchers lacked clear visibility into available communication channels, their audiences, and effective sharing methods. This fragmentation hindered collaboration and limited the reach of research findings.

## The Solution

We created a centralized resource mapping the entire research communication ecosystem. This provides clarity on which channels to use, who they reach, and how to coordinate efforts effectively.

# What We Delivered



## Internal Working Document

A behind-the-scenes planning and coordination tool that maps research communication channels, their managing offices, platforms used, audiences served, and appropriate use cases for sharing information.

[View Document](#)



## Central Webpage

A public-facing, self-service resource that helps researchers identify relevant communication channels, understand what each channel is used for, and learn how to subscribe or participate.

[Visit Webpage](#)



## Strategic Insights

A synthesis of findings from the project, highlighting gaps, overlaps, and opportunities to streamline and improve research communications.

# Research Orientation Webpage

 NEW INITIATIVE

## The Need

New researchers and research administrators face a steep learning curve when joining the university. They need immediate access to essential resources, key contacts, and clear guidance on navigating research services—but currently lack a centralized starting point during those critical first weeks.

 *Orientation is central and universal; onboarding remains departmental and tailored.*

## Our Approach

We're developing a dedicated research orientation webpage that will integrate seamlessly with the New Employee Orientation process. This resource will feature:

- Priority actions for the first 30 days
- Essential research services and tools
- Direct contacts for key support offices
- Quick-start guides and tutorials

# RCC Policy Link

Building a transparent, coordinated, and accessible research policy environment at UNC through strategic leadership and cross-functional collaboration.

## Meet the Policy Link Team



**Jeanne Lovmo, Chair**

Director of Policy, Process and Governance, Research Compliance Services



**Amanda Chang, Co-Chair**

Director of Operations, Office of Sponsored Programs (OSP)



**Kathleen Thomas**

Professor, School of Pharmacy



**Kim Brownley**

Associate Director of Policy & Initiatives, Office of Human Research Ethics (OHRE)



**Cathy Brennan**

Executive Director, Environment, Health and Safety (EHS)



**Shoshana Ellis**

Policy Analyst, University Policy Office

# Research Policy Awareness Campaign

Building a more connected and informed research community through enhanced policy visibility and accessible resources.

## Purpose & Impact

We're increasing awareness and understanding of UNC research policies by improving visibility, clarity, and connections to the support offices.

**What This Improves:** Policy clarity and access – Improved ability to find, understand, and stay current on research policies

Targeted outreach showcasing the University Policy Repository and spotlighting research policies



OSP Symposium

September 24, 2025



RAPP Session

November 6, 2025

### What's Next: A One-stop Hub for Research Policy Navigation

A centralized online resource connecting policies to procedures, guidance documents, and support contacts.



## COMMUNITY ENGAGEMENT

# Listening Sessions – Amplifying Research Voices

01

## Purpose

Create structured opportunities for the research community to share meaningful feedback that directly informs coordinated improvements across UNC.

02

## Toolkit Development

We have developed a comprehensive **Listening Session Toolkit** featuring planning guides, facilitation templates, and follow-up frameworks—all accessible through a dedicated RCC web hub.

03

## Community Engagement

We will conduct listening sessions informed by policy-related findings from the 2026 Research Insights Survey, ensuring we address the topics that matter most to you.

**What This Improves:** Actionable feedback that drives real change. We're creating clear, structured channels for input from the research community that directly informs decisions, policies, and continuous improvements to support your work.

Access Listening Session Toolkit

<https://research.unc.edu/compliance/engage/toolkit/>



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Research Compliance Services

# How to Get Involved

Multiple pathways exist for faculty, staff, and administrators to contribute to research compliance excellence at UNC.



## Join Quarterly RCC Meetings

Open to all UNC faculty, staff, and administrators involved in research. Participate in discussions and stay informed about compliance developments.



## Serve as RCC Member

Represent your school or unit as part of the RCC Membership Body, sharing updates and providing liaison between committees and departments.



## Participate in a Subcommittee

Join a Link subcommittee to collaborate on focused projects that address real compliance challenges and drive meaningful improvements.



## Provide Ongoing Feedback

Share questions, suggestions, or compliance concerns anytime. Your input helps shape our priorities and initiatives.

✔ **Contact us:** Jeanne Lovmo at [lovmo@unc.edu](mailto:lovmo@unc.edu) | [RCS@unc.edu](mailto:RCS@unc.edu)



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# Open Discussion

Your voice matters in shaping the future of research  
compliance at UNC