KU COI Reporting System
Guide for Supervisors
I. Accessing the System
II. The Certification Summary Screen – An Overview
III. The Supervisor’s Review
IV. Viewing the Certification
V. Disclosure Details
VI. History

The Purpose of the Supervisor Review is to:

- Ensure that the supervisor is aware of time commitments and outside financial interests of subordinates, and
- To provide opportunities for supervisor to direct comments to COI Administrator only or to direct comments and/or upload documents to both the individual and the COI Administrators.
- The Supervisor Review also may offer an opportunity for supervisors to address time and effort issues with the individual (outside the reporting system).

To summarize, the actions of the Supervisor Review are to read and, to the best of your knowledge, confirm that the certification is accurate and complete, primarily in time commitment.

COI Supervisor Review Work Flow
## I. Accessing the System – email link

In your role as a supervisor, you will receive an e-mail prompt from kucoisys@ku.edu indicating that you have an annual or update certification to review from an employee who reports to you.

There are two ways to get to the certifications:

A. Email link:
The easiest is to ‘Click’ on the link to the certification that is in the email.

1. Follow the email link and you will arrive at the COI reporting system login page. Log in using your KU Online ID and password.

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**Example A – email prompt to a supervisor from kucoisys@ke.edu**

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Mehlen Avrani
A Disclosure of Significant Financial Interests and Time Commitments, as required by 42 CFR Parts 50.64 and University policy has been submitted by Bethia Anderson, within your department. It now requires your departmental review. It is your responsibility, as supervisor, to review any adjustments with the individual. If you have questions about the disclosure, please take the opportunity to request additional information from the individual. This employer’s immediate supervisor’s primary level is an important factor considered by the Conflict of Interest Committee (CIC) in evaluating the disclosure. You are encouraged to add comments to the form or attach additional documents explaining the reason for your assessment. As you feel appropriate. Once satisfactorily, you re-freeze system to receive the departmental review.

Thank you for your assistance.

If you have further questions, please contact Susan Mackley, Director of Research Integrity at 864-4508 or Diane Holt-Wegg, Coordinator, at 864-7626 or ask@ku.edu
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**Example A.1 – the email link will take you to a KU online login secure gateway**

![KU Online Login Secure Gateway](image-url)
2. If you follow the email link and login, you will be taken directly to the individual’s ‘Certification Summary’.
I. Accessing the System – alternate method

B. An alternate way to access the system is to:

1. Go to [https://kucoi/ku.edu](https://kucoi/ku.edu)
Login using your KU/KUMC online credentials.

Example B.1 – KUCCI system login screen
2. You will arrive at your system home page.
3. Click on My Inbox to go to your inbox.
Example B.4 – Supervisor’s Inbox

4. Click on the certification you wish to review, highlighted in blue under Name. It may read ‘Update to Jane Doe’s Disclosures’ or ‘Annual Certification for Jane Doe’
5. You will be taken directly to the ‘Certification Summary’ screen.

<table>
<thead>
<tr>
<th>Organization</th>
<th>Publicly Traded?</th>
<th>Relationships</th>
<th>Disclosure Types</th>
<th>Significant Total Value</th>
<th>Last Updated</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Diabetes Association</td>
<td>Self</td>
<td>-</td>
<td>Time Commitment</td>
<td>yes</td>
<td>$0.00</td>
</tr>
<tr>
<td>American Heart Assoc. - Midwest Affiliate</td>
<td>Self</td>
<td>-</td>
<td>Position on Advisory Board</td>
<td>yes</td>
<td>$5,000.00</td>
</tr>
<tr>
<td>Abbott Laboratories</td>
<td>Self</td>
<td>-</td>
<td>Sponsored or reimbursed travel (for you only)</td>
<td>yes</td>
<td>$10,000.00</td>
</tr>
<tr>
<td>American Cancer Society</td>
<td>Self</td>
<td>-</td>
<td>Remuneration</td>
<td>no</td>
<td>$500.00</td>
</tr>
<tr>
<td>American Heart Assoc. - Midwest Affiliate</td>
<td>Self</td>
<td>-</td>
<td>Time Commitment</td>
<td>yes</td>
<td>$0.00</td>
</tr>
<tr>
<td>Abbott Laboratories</td>
<td>Self</td>
<td>-</td>
<td>Remuneration (salary and any payment for services not otherwise identified as salary such as consulting fees, honoraria, paid authorship, etc., or other payments for services)</td>
<td>yes</td>
<td>$500,000.00</td>
</tr>
</tbody>
</table>

Lawrence and Edwards campuses: [http://www.ku.edu/~revos/index.shtml](http://www.ku.edu/~revos/index.shtml)
Questions: Research Integrity, 785-532-4749 or revos@ku.edu.
Medical Center campuses: [http://www.kumc.edu/compliance/instunpharmacopolicies.htm](http://www.kumc.edu/compliance/instunpharmacopolicies.htm)
Questions: Office of Compliance, 913-580-1289 or ocm@kumc.edu
II. The Certification Summary Screen – an overview

If you followed the e-mail link, after logging in, you will immediately arrive at the ‘Certification Summary’ screen for the individual’s certification.

A. Certification Summary

The discloser (individual’s) name is in the upper right corner. The current status of this certification is ‘Supervisor Review.’ When you complete the review, the status will change to ‘Administrative Review.’

B. Supervisor Actions

View Certification

Will open the complete SmartForm (It’s easier to view the Printer Version below)

Printer Version

Certification opens in a PDF

Supervisor Review Complete

Click after viewing certification and disclosures

Request Changes

Using this button is not recommended.

Log Private Comment

Viewable only by COI Committee / Admin

C. Navigation

View your personal disclosures

Example A – The ‘Certification Summary’ Screen
III. Supervisor Review

The actions of the Supervisor Review are to read and, to the best of your knowledge, confirm that the certification is accurate and complete, primarily in time commitment.

After reading the ‘Disclosure Summary’ you have 3 options:

1. To view additional details of the certification, click ‘Printer Version’, before returning to complete review (see 3).

2. If you wish to provide comments only viewable to COI Administrators, click ‘Log Private Comment’.

3. Review Complete

Click ‘Supervisor Review Complete’ if you need no further information, to finish review (this step is required). You will have an opportunity to provide comments and upload additional documentation viewable to the discloser and COI Administrators.
A new screen will open allowing you to:

1. provide comments and 2. upload additional documentation that will be viewable to the discloser and COI Administrators.

Click **OK** to complete your review.
When the ‘Supervisor Review’ is complete, the status will change from **Supervisor Review** to **Administrative Review**.
IV. Viewing the Certification

Viewing additional details of the Certification:

There are six (6) screens in the Certification SmartForm:
I. Institutional Responsibilities
II. Which Policy Applies
III. What to Disclose
IV. Disclosure Details
V. Additional Information
VI. Assurance and Certification

To view the certification, click [Printer Version] and the certification will open in a separate window as a PDF file.
When you click on all six (6) screens of the SmartForm will load into one PDF file you can scroll through. (The adjacent example is only the start of the document.)

To view details of the disclosed entities and the relationships, scroll down to ‘Disclosure Details’.

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. * EDUCATION: Do your university responsibilities include teaching, instruction, or education of students?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. * RESEARCH: Are you responsible for the design, conduct, or reporting of externally sponsored research?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. * EXECUTIVE LEADERSHIP: Do you hold a position of executive leadership at this University or an affiliated entity? (Executive leadership refers to any position with decision-making responsibility for a unit such as a department, school, center or affiliated entity.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. * SUPERVISION OF EMPLOYEES: Are you responsible for supervising or evaluating KU employees (student, university support staff, classified, unclassified or faculty)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. * COMMITTEES: Are you a member of a University committee or body that makes decisions that could affect University resources, staff, students or activities? (e.g. University governance, institutional review boards, promotion and tenure, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. * AGREEMENTS: Do your responsibilities include participating in the negotiation or approval of agreements for goods or services on behalf of the University?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. * MEDICAL ORDERS (primarily for KUMC respondents): Do you write medical orders and/or prescribe items or services for patients who visit or participate in activities sponsored by this institution, including hospital, clinics, and leased office space?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
V. Disclosure Details

‘Disclosure Details’ is its own SmartForm (located within the Certification).

Click [View] to open the ‘Disclosure Details’ Printer version.

You will want to review for accuracy any disclosed entities which would list Time Commitment as a disclosure type.
Since you are already in PDF ‘Printer Version’ of ‘Disclosure Details’ – top of page selected screens of the Disclosure Details SmartForm will load into one PDF file. Use the scroll bar to view all the information about this individual entity. (The adjacent example is only the start of the document.)

Depending on the nature of the Individual’s disclosure, you may view information about his / her

- Equity
- Remuneration
- Intellectual Property Income
- Reimbursed or Sponsored Travel
- Service as an Officer or Board Member, or
- Time Commitment

in relationship to the disclosed entity / organization.

Disclosure for Bertha Anderson: General Information

1. External Entity: American Cancer Society

   or

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

2. Is this entity
   - a federal, state, or local government agency; OR
   - an institution of higher education as defined at 20 U.S.C. 1001(a); OR
   - an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education?
   - Yes
   - No

3. Describe the nature of your relationship with this entity:
   - Speaker at events

4. * Who has the financial interest or time commitment? (Check all that apply)
   - Self

5. * Which of the following do you (and/or family members) have with this entity? (Check all that apply)
   - Time Commitment

6. How do the above interests have an actual or potential relationship to your University responsibilities? (Check all that apply)
   - This entity sponsors projects at the University in my area of research.

Disclosure for Bertha Anderson in American Cancer Society: Time Commitment

Time Commitment, in this context, means any external professional activities related to your University responsibilities, such as consulting, employment, public service, holding of office or promotion, or other activities that may be outside your University responsibilities. This disclosure requirement applies to University faculty and classified staff only. It does not apply to family members.

Please note that disclosure of time commitments through this reporting system does not satisfy the...
The Disclosure Summary totals the values of the compensation types and time commitment with the entity.

The Disclosure for Bertha Anderson in American Heart Assoc - Midwest Affiliate: Disclosure Summary

<table>
<thead>
<tr>
<th>Compensation Type</th>
<th>Dollar Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td></td>
</tr>
<tr>
<td>Renumeration</td>
<td></td>
</tr>
<tr>
<td>Intellectual Property Income</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Reimbursed or Sponsored</td>
<td>$5,000,000</td>
</tr>
<tr>
<td>Total Value</td>
<td>$5,000,000</td>
</tr>
</tbody>
</table>

Time Commitment: 45 days per Year

Click in the top right hand corner of the PDF at any time to return to the ‘Certification Summary’ screen and complete the review.

Disclosure for Bertha Anderson: General Information

General Information concerning the relationship between the external organization and the discloser.

1. **External Entity:** American Heart Assoc - Midwest Affiliate

Click again to view more disclosure details if needed.
VI. History

1. Click on the **History** tab to view history of the certification.

Certification Summary – History Tab

1. View certification history of actions and tasks
2. View Status tab to ensure it reads ‘Administrative Review’