eCompliance COI User Guide to update your FY2015 Annual Disclosure Certification
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All faculty and unclassified staff and any other members of the University community who are responsible for the design, conduct, or reporting of research or educational activities are required to disclose certain relevant financial interests for compliance with federal, Regents, and University of Kansas policies. In addition, all faculty and staff are required by Regents and University policies to disclose external professional activities that entail time commitments, whether paid or unpaid. As a result, this reporting system seeks information regarding certain financial interests and time commitments that are related to your University activities.

In this reporting system you will disclose information about entities with which you have professional time commitments and/or significant financial interests (SFI) that meet thresholds for disclosure. You will enter each organization once, with descriptors of your current relationship. Through this reporting system you can add new entities to your disclosure list, update existing relationships that you previously disclosed, or request that a disclosed organization be removed when a relationship ceases. Your list of disclosed entities will be saved as a continuing part of your reporting record that you will update annually and when circumstances change, such as when you acquire a new significant financial interest.
I. Pertinent Information:

**Conflict of Interest Reporting System General workflow for:**

- Individuals completing the certificate (top)
- Individuals and groups reviewing the process (bottom)

**Conflict Of Interest Policy Links:**

**Significant Financial Interest (SFI) Example Guide:**

KU-Lawrence: [http://research.ku.edu/policies_concerning_conflicts_interest](http://research.ku.edu/policies_concerning_conflicts_interest)


II. Accessing the System

You will receive an e-mail notification from ecompliance@ku.edu indicating that you need to complete your annual disclosure certification.

Click here to access the eCompliance login screen.

From: ecompliance@ku.edu [mailto:ecompliance@ku.edu]
Sent: Tuesday, July 01, 2014 1:48 PM
To: Waldron, Else
Subject: FY15 Annual Conflict of Interest Certification for Jaye Haux

University of Kansas Annual Conflict of Interest reporting for fiscal year 2015 (FY15) is now underway. Please complete your certification as instructed below within 30 days of receipt.

Jaye Haux

You are receiving this request because:

- You are an employee of the University and timely filing of an Annual Conflict of Interest and Time Commitment (COI) Certification is a condition of employment according to Kansas Board of Regents, or
- You are a non-employee/affiliated individual who is involved in University research and according to certain federal regulations (DHHS, 42 C.F.R. Part 50, Subpart F and 45 C.F.R. Part 94) and University policies you are required to file an annual COI Certification.

Steps:

1. Log in: The link below will direct you to your draft certification; log in using your KU / KUMC user name and password.

2. Review and edit: Complete the report as instructed in the eCompliance system.
   - If you have completed a prior certification, review the pre-loaded content and update as necessary.
   - If you do not have any edits, you may select “No changes - Submit Certification.”

3. Certify and submit the form: Be sure to click “continue” through to the last panel, to complete the certification and submit it. You must both check the box AND click “finish” to certify and submit successfully.

Click on the link below to access your FY15 Annual Conflict of Interest Certification and complete within 30 days of receipt.

Annual Disclosure Certification for Jaye Haux FY2015

Questions? Please contact your specific campus through these links and e-mail addresses:

- KU Lawrence and Edwards campuses core@ku.edu FAQ
- KU Medical Center, Kansas City core@kumc.edu FAQ
- KU School of Medicine, Wichita jryan3@kumc.edu

eCompliance : Conflict of Interest and Human Subjects Research
KU Lawrence and Edwards campuses
KU Medical Center, Kansas City
KU School of Medicine, Wichita
Contact Information for each Campus
Log in on the right of your screen using your KU/KUMC Online ID and password.
Accessing eCompliance via the link in your email:

Once you login, you will arrive at your personal COI ‘Annual Disclosure Certification’ summary page.
Accessing eCompliance directly from the eCompliance web site (not from the email link)...

1. Click on your FY2015 Annual Disclosure Certification
   Note: this inbox serves both IRB and COI; if you have a great deal of IRB activity, you may find it easier to...

2. Click on the COI tab to narrow your choices; and then, click on your FY2015 Annual Disclosure Certification (step one above)
III. Updating Your Annual Certification:

Updating your Annual Certification consists of six tasks:

I. Verify the profile of your Institutional responsibilities
II. Confirm whether KU or KUMC policy applies to you
III. Review “What to Disclose” based on your campus determination
IV. Review and update as necessary the details about your significant financial interests or time commitments related to your University responsibilities
V. Additional Information
VI. Assure the details of your report are correct and Submit Certification or Save a draft to submit later

1 Click Edit Disclosures to access the SmartForm and answer, or edit, your answers, to the questions.
**TASK I**

Certification SmartForm Screen I: “Institutional Responsibilities”

Verify the answers to the seven questions about your responsibilities at KU or KU Medical Center; update as necessary.

If you answer “yes” to a required (*) question, you’ll need to provide a brief explanation.

Click `Continue >>` to advance to the ‘Which FCOI Policy Applies?’ screen.

**NOTE:** if you are a **KUMC affiliate**, please do not answer the questions about your primary job; answer them as they relate to your role/responsibilities with KUMC.

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1. **EDUCATION:** Do your university responsibilities include teaching, instruction, or education of students?
   - Yes    No

2. **RESEARCH:** Are you responsible for the design, conduct, or reporting of externally sponsored research?
   - Yes    No

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.)
   - Yes    No
   If Yes, please give a brief description:

4. **SUPERVISION OF EMPLOYEES:** Are you responsible for supervising or evaluating KU employees (student, university support staff, classified, unclassified or faculty)?
   - Yes    No
   If Yes, please give a brief description:

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.)
   - Yes    No
   If Yes, Which:

6. **AGREEMENTS:** Do your responsibilities include participating in the negotiation or approval of agreements for goods or services on behalf of the University?
   - Yes    No
   If Yes, please give a brief description:

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?
   - Yes    No
**TASK II**

**Certification SmartForm Screen II: “Which Policy Applies”**

To determine if the FCOI policy for KU or for KUMC applies, simply answer two questions.

Based on your answers, you will be routed to the appropriate disclosure criteria.

Click **Continue >>** to advance to the ‘**What to Disclose**’ screen.

Note: If you did not have any disclosures on your FY2014 annual, and you do not have anything to disclose on your FY2015 annual, you may skip to page 13.
**TASK III**

Certification SmartForm Screen III:
“What to Disclose”

Individuals who are:
- Based
- Engaged in research, or
- Working with colleagues
  - at **KU**, will be presented with KU's criteria for ‘What to Disclose’.
  - at **KUMC**, will be presented with KUMC’s criteria for ‘What to Disclose’.

**NOTE:** KUMC criteria have lower dollar thresholds and a broader definition of family for compliance with human subjects’ research accreditation.

SFI’s only need be reported if they reasonably appear to be related to your University responsibilities (and meet one or more of the criteria listed).

After reading through the disclosure criteria, click **Continue >>** to advance to the ‘Disclosure Details’ screen.

User Guide: 08012014
**TASK IV**

Certification SmartForm Screen IV: “Disclosure Details”

Since you have previously completed an ‘Annual Disclosure Certification’, your disclosures will appear here for updating.

1. Click **Add Disclosure** to open the ‘Disclosure Details’ SmartForm to add a new disclosure. (See page 14)

2. Click **Edit** to open the ‘Disclosure Details’ SmartForm to update a prior disclosure.

3. Click **X** to request removal of a prior disclosure that is no longer applicable.

Once you complete your disclosures (via the ‘Disclosure Details’ SmartForm); you will be returned to this screen to complete your certification.

If you have nothing to disclose, click to advance to the ‘Additional Information’ screen.
**TASK V**

**Certification SmartForm Screen V:**

**“Additional Information”**

On this page, you will have the opportunity to make sure your supervisor is correctly listed, and provide additional information regarding your disclosure.

If your supervisor is listed incorrectly, click and choose the correct supervisor from the dropdown. *If you are an affiliate (e.g., Univ. of Kansas Hospital, UKP, KCCC, MCA, other institution or organization) please select the Principal Investigator of your project as supervisor.* If your supervisor is not listed, contact the COI office.

You can also include additional information that you feel may be helpful in evaluating your disclosure (not required); and/or attach any pertinent documents by clicking the button and choosing files to attach.

Click to advance to the ‘Assurance and Certification’ screen.
**TASK VI**

Certification SmartForm Screen VI: “Assurance and Certification”

When you arrive at the ‘Assurance and Certification’ screen, a **Certification Statement** is displayed.

Review your disclosures (are they complete? accurate?)

1. Read the ‘Certification Statement’, check the box (bottom right) to confirm that you understand and agree with the ‘Certification Statement’.

2. This is the last Certification SmartForm screen. Click **Finish** to submit your disclosure and return to the ‘Certification Summary’ screen.

**NOTE:** if you do not check the box your certification will remain in draft status.
IV. Adding a New Disclosure

Click the Add Disclosure button to open the ‘Disclosure Details’ SmartForms.

Dislcoser Smart Form – Choosing the Organization ‘Pop-Up’ screen

In the Select the External Organization box, start typing the name of the organization for this disclosure. The system will find a match as you type. When you are finished entering the organization, click OK. If there is no match, you can manually type the name of the organization in the bottom box on this form. Please add the full legal name of the organization, not an acronym (i.e., do not use AMA, type out American Medical Association) Click OK to continue.

Dislcoser Smart Form – Choosing the Organizaiton ‘Pop-Up’ screen

Click OK to continue to advance to the Disclosure SmartForm – ‘General Information’ screen.
Disclosure SmartForm – General Information

Once you choose/enter the organization, the ‘General Information’ screen will open. Here you will provide general information about your relationship with the organization.

After the ‘General Information’ screen, the screens that open will depend on the type of disclosure.

There are four (4) types of disclosures:
1. Equity
2. Remuneration
3. Intellectual Property
4. Reimbursed or Sponsored Travel

Click Continue >> to move through each form presented.
Disclosure SmartForm – Equity

Equity (stock, stock options, or other ownership interest):

(Click here for definitions/examples: http://www.kumc.edu/Documents/coi/SFI%20Examples.pdf)

[Continue >>] will advance you to the next screen.
Disclosure SmartForm – Remuneration

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):

(Click here for definitions/examples: http://www.kumc.edu/Documents/coi/SFI20Examples.pdf)

Continue >> will advance you to the next screen.
Disclosure SmartForm – Intellectual Property

Intellectual Property rights and interests (patents, copyrights, royalties, or license income):

(Click here for definitions/examples: http://www.kumc.edu/Documents/coi/SFI%20Examples.pdf)

[Continue >>] will advance you to the next screen.
Disclosure SmartForm – Reimbursed or Sponsored Travel

Report travel for yourself only, not for family members:

(Click here for definitions/examples: http://www.kumc.edu/Documents/coi/SFI%20Examples.pdf)

1. Total value of reimbursed or sponsored travel
2. Destination/Duration Pop-Up (See page 20)
3. Additional Information – text box to add pertinent information
4. Attach Related Documents (See page 20)

REMEMBER: not all travel needs to be reported (read instructions).

Continue >> will advance you to the next screen.
Disclosure SmartForm – Reimbursed or Sponsored Travel: Destination/Duration Pop-Up

Enter the information requested and click **OK** if you are done; or **OK and Add Another** if you need to add additional travel details for this organization.

Disclosure SmartForm – Reimbursed or Sponsored Travel: Attach Related Documents

Attach any pertinent documentation here; click **OK** to continue.
Disclosure SmartForm – Disclosure Summary

The Disclosure Summary totals the values of the compensation types and time commitment with the organization.

This is the last Disclosure SmartForm screen. Clicking Finish will return you to the ‘Disclosure Details’ screen.

If you have additional New Disclosures to add: Click Add Disclosure to open the ‘Disclosure Details’ SmartForm to add a new Organization. (See page 14)
Disclosure SmartForm – Disclosure Details

If you need to edit a current disclosure:

2. Click to open the ‘Disclosure Details’ SmartForm to update a prior disclosure.

Follow the steps you would to create a new disclosure (see page 15) to update the disclosure as necessary.

If you need to request removal of a disclosure:

3. Click to request removal of a prior disclosure that is no longer applicable, following instructions on page 23.

If you have nothing further to disclose, click Continue to complete the certification form. (See page 14)
Disclosure SmartForm – Disclosure Details

Click [X] to request removal of a prior disclosure that is no longer applicable.

Click [Yes], and then click [OK].

Repeat from page 22 as necessary.

When you have completed all of your editing, Click [Continue >>] to advance to the ‘Assurance and Certification’ screen. (see page 13).
V. Viewing/Printing Your 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
(See page 2).

There are two ways to view the details of the certification:

1. Printer Version

Is the recommended method to view the certification; the certification will open in a separate window as a PDF file. (You can print your certification, or save the PDF file for electronic transmission from this screen.)

2. View Disclosures

Will cause the Certification SmartForm to open (you cannot print/save from this view).
When you click on ‘Printer Version’ all six (6) screens of the SmartForm will load in to one PDF file you can scroll through. (The adjacent example is only the beginning of the document.)

View: SF: Institutional Responsibilities

Annual for Stefano Smith: Institutional Responsibilities

The following questions apply to all activities you perform in the scope of your work for the University. This profile of your University responsibilities helps in determining whether your disclosed financial interests or time commitments (if applicable) could potentially conflict with your university responsibilities. The information you provide will be saved and can be updated whenever you file a report through this system.

1. **EDUCATION:** Do your university responsibilities include teaching, instruction, or education of students?
   - Yes
   - No

2. **RESEARCH:** Are you responsible for the design, conduct, or reporting of externally sponsored research?
   - Yes
   - No

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.)
   - Yes
   - No
   If Yes, please give a brief description:

4. **SUPERVISION OF EMPLOYEES:** Are you responsible for supervising or evaluating KU employees (student, university support staff, classified, unclassified or faculty)?
   - Yes
   - No
   If Yes, please give a brief description:

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.)
   - Yes
   - No
   If Yes, Which:

6. **AGREEMENTS:** Do your responsibilities include participating in the negotiation or approval of agreements for goods or services on behalf of the University?
   - Yes
   - No
   If Yes, please give a brief description:

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?
   - Yes
   - No
When you click on ‘View Disclosures’
The six (6) Certification SmartForms will open individually.

Institutional Responsibilities
II. Which Policy Applies
III. What to Disclose
IV. Disclosure Details
V. Additional Information
VI. Assurance and Certification
Certification SmartForm  Screen I –
Institutional Responsibilities

Navigation tools can be found at both the top and bottom of the screen.

You can use the ‘Jump-To’ menu to quickly switch to other SmartForm screens. Note ‘Jump-to’ drop down menu in the bars above and below the screen.

To navigate through the screens, use the Continue >> and << Back buttons found at the top and bottom of each screen.

Click Exit at any time to return to the ‘Certification Summary’ screen and complete the review.

Annual for Stefano Smith: Institutional Responsibilities

The following questions apply to all activities you perform in the scope of your work for the determining whether your disclosed financial interests or time commitments (if applicable) information you provide will be saved and can be updated whenever you file a report that transfers:

1. EDUCATION: Do your university responsibilities include teaching, instructing, mentoring, guiding, or advising?
   - Yes □ No □

2. RESEARCH: Are you responsible for the design, conduct, or reporting of research?
   - Yes □ No □

3. EXECUTIVE LEADERSHIP: Do you hold a position of executive leadership to any position with decision-making responsibility for a unit such as a dean or director?
   - Yes □ No □

   If Yes, please give a brief description:

4. SUPERVISION OF EMPLOYEES: Are you responsible for supervising or evaluating KU employees (student, university support staff, classified, unclassified or faculty)?
   - Yes □ No □

   If Yes, please give a brief description:

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.)
   - Yes □ No □

   If Yes, Which:

6. AGREEMENTS: Do your responsibilities include participating in the negotiation or approval of agreements for goods or services on behalf of the University?
   - Yes □ No □

   If Yes, please give a brief description:

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?
   - Yes □ No □
VI. Checking the Status of your Certification

While working on your certification the status will remain ‘Draft’:

Draft

When you have completed your certification, the status will advance to ‘Supervisor Review’:

Supervisor Review

Once your supervisor approves your disclosure, the status will advance to ‘Admin Review’:

Administrative Review

Once the COI team reviews your disclosure, they will providing administrative or committee approval, and the status will advance to ‘Review Complete’:

Review Complete