eCompliance COI User Guide to update your 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)

<table>
<thead>
<tr>
<th>Conflict Of Interest Policy Links:</th>
<th>KU-Lawrence: <a href="http://research.ku.edu/policies_concerning_conflicts_interest">http://research.ku.edu/policies_concerning_conflicts_interest</a></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>KUMC: <a href="http://www.kumc.edu/Documents/coi/Types%20of%20Disclosures.pdf">http://www.kumc.edu/Documents/coi/Types%20of%20Disclosures.pdf</a></td>
</tr>
</tbody>
</table>

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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.

1. 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, Elise
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: coi@ku.edu FAQ
- KU Medical Center, Kansas City: coi@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
**eCompliance Login Screen:**

1. Log in on the right of your screen using your KU/KUMC Online ID and password.

Log in 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.

Submitting a Certification about your significant financial interests and/or time commitment

To get started, click on the "EDR Disclosures and Certify" button in the upper left column IF...
- this is the first time you have filed a Certification in this system, OR
- you need to review or make changes to your current information before submitting your Certification.

OR, if you are certain that the information in the system about your institutional responsibilities and financial interests is complete, accurate and up to date, you can click on the "No Changes - Submit Certification" button in the column to the left.

In this reporting system a Certification consists of 5 steps.
The information that you enter in steps 1, 2 and 4 below will be saved in the system and will provide the starting point for the next Certification you make in this system.

1. Enter information about your institutional responsibilities,  
2. Identify your campus affiliation,  
3. Review the relevant disclosure criteria (based on campus affiliation),  
4. Disclose any entities with which you have a relationship that meets criteria for disclosure, and  
5. Submit your Certification.

Tip: You may find it helpful to have the following types of documents on hand for reference to complete this form:  
- Stock option agreements  
- Travel reimbursement receipts by external entities  
- Consulting agreements  
- Federal income tax form 1040 and/or 1099 forms

Additional information regarding University policies and procedures for reporting and managing financial conflicts of interest and time commitment can be found at [http://www crc ku ku edu/rcr/coi/index.shtml](http://www crc ku ku edu/rcr/coi/index.shtml)
Accessing eCompliance directly from the eCompliance web site (not from the email link)...

1. Click on your FY[Year] 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 FY[Year] 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

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

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

3. Click 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 [Select...] 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 [Add] button and choosing files to attach.

Click [Continue >>] 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’,

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

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IV. Adding a New Disclosure

Dislcoser Smart Form – Choosing the Organizaiton ‘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 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/Types%20of%20Disclosures.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/Types%20of%20Disclosures.pdf)

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

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

(Click here for definitions/examples: http://www.kumc.edu/Documents/coi/Types%20of%20Disclosures.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/Types%20of%20Disclosures.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 ✗ 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.)
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.
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