

Dear PHS Investigator:

November 20, 2012

In the next 1-2 weeks, you will receive a request to complete an “Annual Certification” of your significant financial interests and time commitments in our new KU Conflict of Interest (COI) Reporting System. Although many investigators on PHS-compliant projects have already submitted a “Research Certification” COI report in the new reporting system, all faculty and unclassified staff are still **required to file an annual (FY13) COI report per federal, Regents and KU policies.**

**The good news:** if you have already completed a Research Certification, your Annual Certification will be pre-populated with your responses from your most recent submission, so completing the form will be a matter of updating and editing information you have already entered in the system.

After following the link in the notification e-mail and logging into the system with your KU online ID or KUMC credentials, you will arrive at the Certification Summary Screen.

**1. Choose one of the following Actions:**

- a. **Click on “No Changes – Submit Certification” if you have already disclosed all significant financial interests and time commitments** and have no updates to report. This button leads to the Additional Information screen (see Step 2 below.)
- b. **Click on “Edit Disclosures and Certify” if you have additional financial interests or time commitments to report** or updates to provide. This will open the Certification SmartForm, starting on the first screen. (Refer to the User’s Guide at <http://www.rcr.ku.edu/~rcr/coi/systemtraining.shtml> for detailed instructions.)

**2. Additional Information screen** – this screen is slightly different from the version in the Research Certification. A supervisor’s review is required for certifications that contain significant disclosures. The Additional Information screen allows you to change the supervisor name, add an additional supervisor (use only if you have a dual appointment), and provide additional text or upload documents that you feel may be helpful in evaluating your disclosure (not required).

**3. Assurance and Certification** is the last screen.

There are two steps to submit your certification:

- **Check the box** to confirm you understand and agree **with** the ‘Certification Statement’,
- Finally, click **Finish** to submit.

**Please feel free to send questions to [coi@ku.edu](mailto:coi@ku.edu) , or call 864-7429 for assistance.**