KU COI Reporting System Guide

Guide for Annual Certification Users
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 entity 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 entity 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.

**Conflict of Interest Reporting System:**

**General workflow for**

- Individuals completing the certificate (top)
- Individuals and groups reviewing the process (bottom)
<table>
<thead>
<tr>
<th>I. Accessing the System</th>
<th>Example of email</th>
</tr>
</thead>
<tbody>
<tr>
<td>You will receive an e-mail prompt from <a href="mailto:kuoisys@ku.edu">kuoisys@ku.edu</a> indicating that you need to complete your annual or update certification.</td>
<td><img src="image" alt="Example email" /></td>
</tr>
<tr>
<td>Follow the email link and you will arrive at the COI reporting system login page. Log in using your KU/KUMC Online ID and password.</td>
<td><img src="image" alt="Login screen" /></td>
</tr>
</tbody>
</table>
II. Completing Your Annual Certification

Completing your first certification in the online system may take a bit longer than subsequent certifications if you have significant financial interests to disclose.

After you fill out and submit your first certification, subsequent certification forms 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.

Submitting an Initial Certification consists of five tasks:

I. Complete a short profile of your Institutional responsibilities
II. Determine if KU or KUMC policy applies
III. Review “What to Disclose” based on your campus determination
IV. Provide requested details about your significant financial interests or time commitments related to your University responsibilities for each relevant entity / organization
V. Assure details of your report and Submit Certification or Save a draft

Click on Edit Disclosures and Certify to begin your annual certification.

User Guide: 11192012
Answer seven questions about your responsibilities at the University of Kansas, or KU Medical Center. If you answer “yes” to a required (*) question, you’ll need to provide a brief explanation.

When you are done, click the Continue button in the upper or lower right hand corner of the screen to advance to the ‘Which FCOI Policy Applies?’ screen.
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.

When you are done, click in the upper or lower right hand corner of the screen to advance to the ‘What to Disclose’ screen.
Individuals who are:
- based
- engaged in research, or
- working with colleagues at KUMC, will be presented with KUMC’s version of ‘What to Disclose’.

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

After reading through the disclosure criteria, click in the upper or lower right hand corner of the screen to advance to the ‘DISCLOSE DETAILS’ screen.
Click **New Disclosure** to disclose information for a new organization.

This will open the ‘Disclosure Details’ SmartForm. (See page 9).

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, **Continue >>** will advance you to the ‘Additional Information’ screen.
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 incorrectly identified, you can update the field by pressing the Select... button.

If you report to two supervisors, select and enter the second name in the space provided.

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.

Continue >> will advance you to the ‘Assurance and Certification’ screen.
When you arrive at the ‘Assurance and Certification’ screen, a certification assurance message is displayed.

Review your disclosures (are they complete? accurate?),

Read the assurance, check the box to confirm that you understand and agree with the ‘Certification Statement’.

This is the last Certification SmartForm screen. Clicking Finish will return you to the ‘Disclosure Details’ screen.
III. Creating a New Disclosure

New Disclosure will open the ‘Disclosure Details’ SmartForms.

There are six (6) types of disclosures:

I. Equity (stock, stock options, or other ownership interest)
II. 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)
III. Intellectual Property rights and interests (patents, copyrights, royalties, or license income)
IV. Sponsored or reimbursed travel (for yourself)
V. Position of officer, director, or board member
VI. Time commitment

Click New Disclosure to start a new disclosure.
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 done 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.*

Click **OK** to continue.

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Click **OK** to continue to advance to the Disclosure SmartForm – ‘General Information’ screen.
Once you choose/enter the entity, the ‘General Information’ screen will open. Here you will provide general information about your relationship with the entity.

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

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

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

Disclosure for Katherine Elting in Abbott Vascular Devices: Equity

Equity means stock, stock options, or other ownership interest.

1. What is the current value of the equity? (Round to the nearest $500. The value of non-publicly traded entities may be estimated. In this case, please provide a brief explanation in Question 3.)
   
   ![Value](value.png)

2. What percent ownership does the value above represent? (For ownership interest in a publicly traded company that represents less than 1% ownership, you may report 0% even for a positive dollar value.)
   
   ![Ownership](ownership.png)

3. Please provide additional information that may assist in the evaluation of this disclosure.
   This is a company owned by my family, my grandfather owns 50%, each of his 10 grandchildren own 5%.

4. Related Documents:

   ![Add](add.png)

   name | description
   -- | --
   There are no items to display

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

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

- [Continue >>](#) will advance you to the next screen.

<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Intellectual property rights (patents, copyrights) on receipt of income related to such rights and interests.</strong></td>
</tr>
<tr>
<td>It is not necessary to disclose intellectual property income received from the University of Kansas.</td>
</tr>
<tr>
<td>1. <em>Total intellectual property income received from this entity in the past 12 months. (Round to nearest $500) 25,000</em></td>
</tr>
</tbody>
</table>
| 2. *Please describe the intellectual property and its relationship to the entity:*
| I invented a device they manufacture and market. I receive a percentage of the sale of each device. |
| 3. Related Documents: |
| ![Table of Related Documents](#) |
| Name | Description |
| There are no items to display |

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Sponsored or reimbursed travel (for yourself)

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

Continue >> will advance you to the next screen.
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 entity.

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Attach any pertinent documentation here; click **OK** to continue.
Position of officer, director, or board member.

**Disclosure SmartForm – Position**

<table>
<thead>
<tr>
<th>Disclosure for Katherine Elting in Abbott Vascular Devices: Office or Board Membership</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Office or board membership</strong> means a position or office director, officer, associate, partner, proprietor, or board member, whether or not you are compensated.</td>
</tr>
</tbody>
</table>

1. Please provide your position title and briefly describe your role with this entity.

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Related Documents:

<table>
<thead>
<tr>
<th>Add</th>
<th></th>
</tr>
</thead>
</table>

**Continue >>** will advance you to the next screen.

User Guide: 11192012
Time commitment, mandated by KBOR, any external professional activity related to your University responsibilities, such as consulting, external employment, public service, holding office, or pro bono whether or not you receive compensation.

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

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

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

Disclosure SmartForm – Disclosure Details

If you need to disclose information for another entity, click the [New Disclosure] button again and repeat the above steps.

If you have nothing further to disclose, click [Continue >>] to complete the certification form. (See page 8)
IV. 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. (See page 21).

2. **View Certification**
   - Will cause the Certification SmartForm to open. (See page 22).
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 beginning of the document.)
When you click on View Certification

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
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 Katherine Elting: 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:
   Supervise GSA’s in my lab.

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 KUHC 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
V. Viewing Your Disclosure

Click Icon to open the ‘Disclosure Details’ SmartForm.

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

1. You can use the ‘Jump-To’ menu

Jump To: Disclosure Details ▼

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

2. Exit will take you back to the ‘Certification Summary’ screen.

3. and 4. use the Continue >> and << Back buttons found at the top and bottom of each screen to navigate through the SmartForm screens.

Certificate SmartForm Screen IV – Disclosure Details Screen

INSTRUCTIONS:
1. Make a new or update an existing disclosure
   Use the buttons below to create a new or modify an existing disclosure record for each external entity with which you have a Time Commitment and/or a Significant Financial Interest as defined in the Disclosure Criteria.
   Use the ‘<click’ button to return to the Disclosure Criteria for reference.
2. When you are finished editing new or updating existing disclosures, or if you have nothing to disclose,
   Click ‘Continue>>’ to advance to the Assurance and Certification page.

Disclosure reminders:
- Disclosure equity interests, remuneration or intellectual property interests for yourself and family member are previously defined.
- Disclose reimbursed or sponsored travel for yourself only.
- Disclose time commitments for yourself only. (Applicable to faculty and unclassified staff)

INCORPORATION FORM:

Disclosures Under Review (Disclosures under review may not be available for editing):

<table>
<thead>
<tr>
<th>View/ID</th>
<th>Organization</th>
<th>To Public Company</th>
<th>Relationships</th>
<th>Disclosure Types</th>
<th>Total Value</th>
<th>Is Significant</th>
<th>Last Updated</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>View 1</td>
<td>Abbott Laboratories</td>
<td>Self</td>
<td>Equity (Stock, stock options, or other ownership interest)</td>
<td>$1,500,000.00</td>
<td>yes</td>
<td>10/15/2012</td>
<td>2:21 PM</td>
<td></td>
</tr>
<tr>
<td>View 2</td>
<td>American Heart Assoc - Midwest Affiliate</td>
<td>Self</td>
<td>Time Commitment</td>
<td>$0.00</td>
<td>yes</td>
<td>10/15/2012</td>
<td>2:21 PM</td>
<td></td>
</tr>
<tr>
<td>View 3</td>
<td>Abbott Laboratories</td>
<td>Yes</td>
<td>Immediate Family: Spouse, dependent children, or other household member</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>$1,500,000.00</td>
<td>yes</td>
<td>10/15/2012</td>
<td>2:21 PM</td>
</tr>
<tr>
<td>View 4</td>
<td>Abbott Vascular Devices</td>
<td>Self</td>
<td>time commitment</td>
<td>Sponsored or reimbursed travel (for your self only)</td>
<td>$1,000,000.00</td>
<td>yes</td>
<td>10/15/2012</td>
<td>2:21 PM</td>
</tr>
</tbody>
</table>

Previously Reviewed Disclosures (Click ‘Modify’ or ‘Remove’ to enable editing):

There are no items to display
What screens are available will depend on the type of the disclosure.

Exit will take you back to the ‘Certification Summary’ screen.

Use the Continue and Back buttons found at the top and bottom of each screen to navigate through the SmartForm screens.
VI. Checking the Status of your Certification

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

Status: Draft

Certification Summary Screen

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

To get started, click on the "Edit 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.

OK, 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.

Tips: You may find it helpful to have the following types of documents on hand for reference to complete this form:
- Stock option agreements
- Stock portfolio summary
- Consulting agreements
- Travel reimbursement receipts from external entities
- 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.rc.ku.edu/rc/cis/index.shtml](http://www.rc.ku.edu/rc/cis/index.shtml)

Questions: Research Integrity, 785-864-7420 or cis@ku.edu

Medical Center campuses: [http://www2.kumc.edu/compliance/researchcompliance/cspolices.htm](http://www2.kumc.edu/compliance/researchcompliance/cspolices.htm)
Questions: Office of Compliance, 913-586-1305 or tco@kumc.edu
When you have completed your certification, the status will change to ‘Supervisor Review’:

**Status: Supervisor Review**
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>VII. History Tab</td>
<td>The History tab will provide you with the history of this certification.</td>
</tr>
<tr>
<td>VIII. Supervisor Review Status Tab</td>
<td>The Supervisor Review Status tab will provide you with your supervisor's review status.</td>
</tr>
</tbody>
</table>