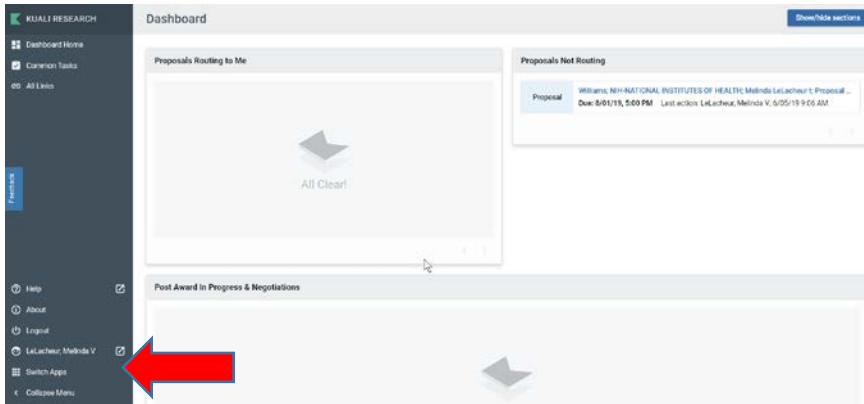
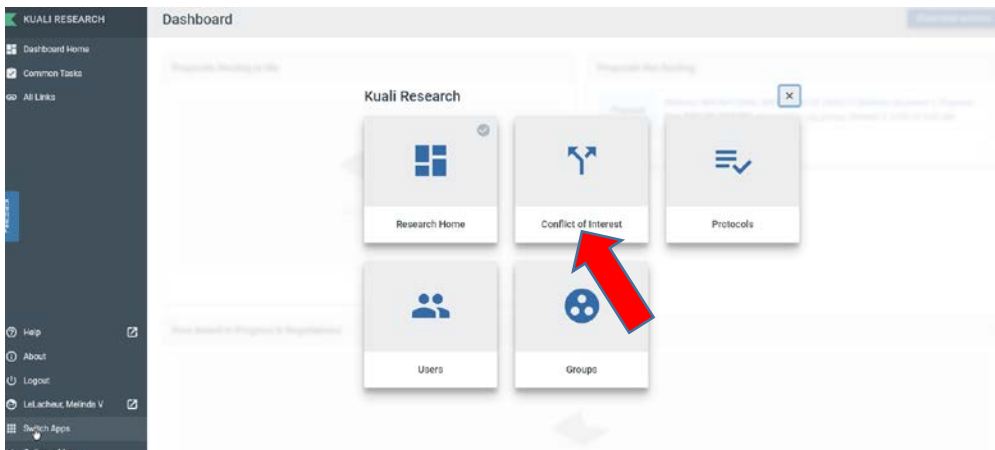


Creating your Annual COI Disclosure in Kuali

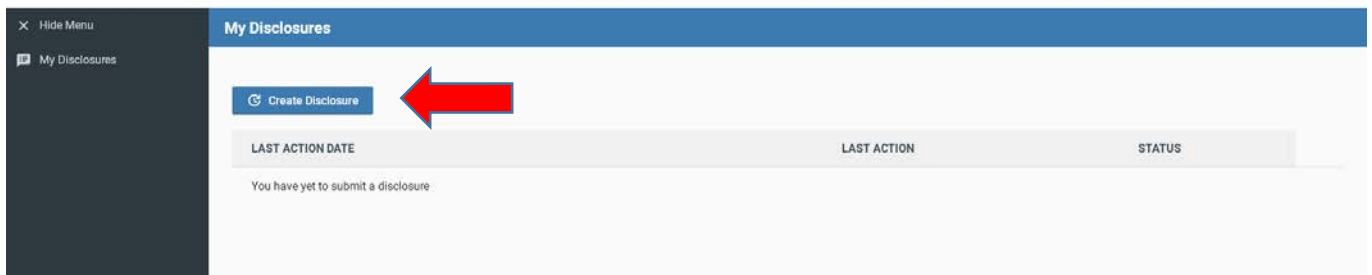
- **LOG IN**
www.umass.edu/research/kuali using your NetID and Password
- Select **Switch Apps** on the lower left margin (the icon has 9 dots).



- Select **Conflict of Interest** in the middle (the icon has two arrows).

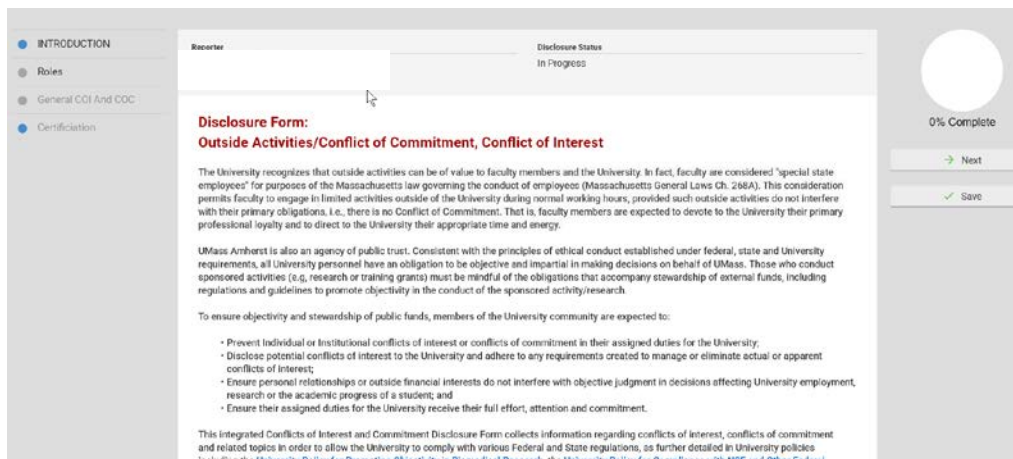


- If this is your first time in Kuali COI, the small blue box will say **Create Disclosure**. If not, it will say **Update Disclosure**. In either case, click on it.

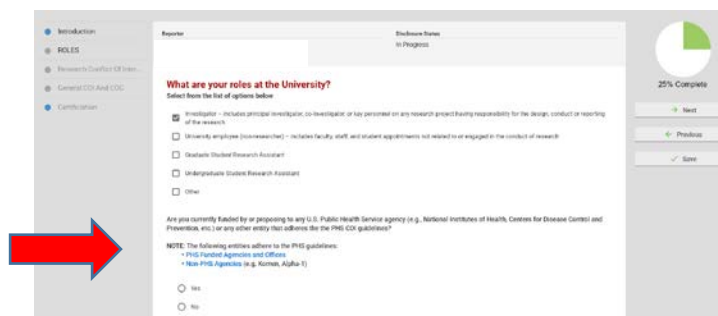
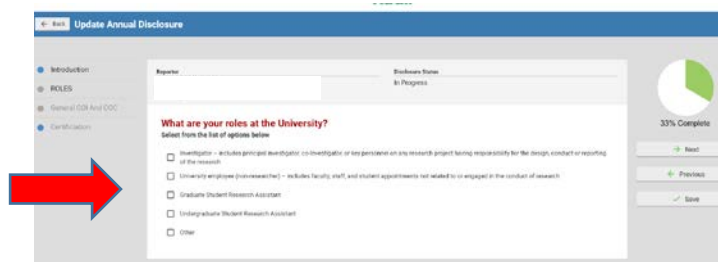


Now you have entered the COI Disclosure form.

- Navigation tips:
 - The list on the left (starting with INTRODUCTION) details the steps needed to complete your form. The circle on the right will show your progress in **green**.
 - The COI disclosure form has progressive display, meaning that the number of questions will increase or decrease depending on the answers you give.
 - Hotlinks and blue question marks will appear throughout and provide you with more details and guidance.
 - If at any point you want to leave and return later, click **Save** and log out using the drop down in the upper right under your name.
 - Use the **Next** button to move through the form.



- Navigate through the form, answering ALL questions. New ones will appear as you answer in the affirmative.
 - Example: check the first box on this question and a second question appears.



Training page

- This page includes the status of training required under PHS/NIH COI policy. Follow the links if you have any questions or concerns.

Research Conflicts of Interest Training
Please read the following training material regarding your role and participation in research funded by the U.S. Public Health Service (PHS) as a UMass Amherst faculty or staff member.

University Policy on Financial Conflicts of Interest in Public Health Service Research
University personnel and students who are covered by the University Policy for Promoting Objectivity in Biomedical Research (University PHS policy) share an obligation to conduct their professional activities in a manner consistent with the University's mission and to conduct their relationships with each other and the University with candor and integrity. This policy requires individuals participating in (or proposing to participate in) PHS-funded research to identify and, where possible, avoid financial conflicts of interest. When conflicts cannot be avoided, covered persons must disclose outside financial relationships that create, or reasonably appear to create, conflicts of interest, and to work with University officials to manage or resolve those conflicts. The University PHS policy applies to all persons at UMass Amherst who are "investigators" under PHS regulations which includes anyone who is responsible for the design, conduct or reporting of research funded by the Public Health Service (or those proposing for funding), including consultants, subcontractors or unpaid collaborators. This disclosure process has been developed in part to meet federal regulations, described further below.

Public Health Service Regulations
The Public Health Service has promulgated regulations to promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under PHS grants or cooperative agreements is free from bias resulting from investigator financial conflicts of interest (FCOI). The investigator, the institution and the PHS funding agency (e.g., National Institutes of Health) share responsibility to ensure reported research is free from bias. Under the University's Policy for Promoting Objectivity in Biomedical Research and PHS regulations, a significant financial interest (SFI) is an outside financial interest meeting a certain monetary threshold; such SFI must be disclosed if the interest reasonably appears to be related to an investigator's university responsibilities. Your responsibilities include, but are not limited to, activities such as research, research consulting, teaching, professional practice, institutional committee membership and service on panels such as the Institutional Review Board or Data Safety Monitoring Boards. An FCOI means a significant financial interest that could directly and significantly impact the design, conduct and reporting of the PHS-funded research. Family members are defined as the individual's spouse or domestic partner and dependent children.

PHS Investigator Responsibilities
PHS investigators must disclose their own outside financial interests and those of their spouse or domestic partner and dependent children that relate to the investigator's University responsibilities and:
1. Control \$5,000 from one entity in the preceding 12 months. This includes equity ownership, remuneration, reimbursement or sponsored travel, and/or interests or rights from intellectual property when aggregated together.
2. Ownership interests (e.g., stock, stock options or other forms of ownership) of:
 a. ANY interest in a non-publicly traded entity (such as a start-up company or small business) OR
 b. More than \$5,000 in value or 2% ownership in a publicly traded entity.

NOTE: Do not report teaching or review panel compensation or travel reimbursement or approval when such compensation or travel reimbursement is paid by a U.S. Federal, State or local government agency, a US institution of higher education, a US academic teaching hospital, a US medical center, or a research institute that is affiliated with a US institution of higher education. You do not need to include income from investment vehicles such as mutual funds and retirement accounts as long as the investigator does not directly control the investment decisions made in these vehicles.

I have read and understand my obligations under the University Policy for Promoting Objectivity in Biomedical Research and PHS regulations and accept my responsibilities concerning financial conflict of interest. I accept and will comply with the conditions and restrictions established by the University to manage, reduce, and/or eliminate any actual or perceived conflicts of interest.

By pressing the next button I certify that I understand and accept the above text.

Training Status
Effective August 24, 2012, each investigator must complete PHS COI training prior to engaging in research related to any PHS-funded grant or contract and at least every four years, and immediately under the following circumstances:
The current status of your PHS COI training is listed below. Details on completing or updating your training can be found at the bottom of our PHS Conflicts of Interest page.

Contact Research Compliance at research@research.umass.edu or (413) 549-5252 with questions.

PHS Financial Conflict of Interest Course (Stage 1) - 05/07/17 - 01/01/21	PHS Financial Conflict of Interest Course (Stages... - 05/07/18 - 04/06/20
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Potential Conflicts of Interest and/or Commitment

- The next few pages will ask you to disclose potential Conflict of Interests and Conflicts of Commitment. **You must answer ALL questions.**
 - First you will be asked about categories of potential conflict.

Update Annual Disclosure

Reporter: LeLachue, Melinda V (melinda@research.umass.edu) | Business Status: In Progress | 60% Complete

Research Conflict of Interests
Please answer all questions below. Selecting "Yes" on any will prompt completion of the Outside Entity Information section that will appear later in the process.
*NOTE: As included in the questions below, "family members" refers to spouse, domestic partner, and/or dependent children.

During the past 12 months, did you and/or your family members receive aggregated compensation, monetary or in-kind, exceeding \$5,000 in value from any single external entity (not UMass) operating in areas relating to your UMA responsibilities?
Please include any compensation related to you and your family members even if you did not receive it separately from the entity, including from a government contractor and income related to any interest or right in intellectual property, stock, stock options or gifts.

Yes
 No

Did you and/or your family members hold at some point during the past 12 months any ownership in a publicly traded external entity operating in areas relating to your UMA responsibilities which, when aggregated together for all of you, represents an equity interest that exceeds \$5,000 in value or 2% ownership in a public entity?
* For more information on outside activities, please see the UMass Policy on Faculty Consulting and Outside Activities: [Amherst & Boston](#).

Yes
 No

Did you and/or your family members hold at some point during the last 12 months any ownership interest in a non-publicly traded external entity operating in areas relating to your UMA responsibilities (e.g., faculty start-up or family business related to your research)?

Yes
 No

Update Annual Disclosure

Reporter: LeLachue, Melinda V (melinda@research.umass.edu) | Business Status: In Progress | 80% Complete

Disclosure and Approval of Consulting and Outside Activities
Please answer all questions below. Selecting activities will prompt completion of the Outside Entity Information section that will appear later in the process.
* For more information on outside activities, please see the UMass Policy on Faculty Consulting and Outside Activities: [Amherst & Boston](#).

Are you involved in any paid activities outside UMass Amherst? (e.g., non-academic activities as defined in the UMass Policy on Faculty Consulting and Outside Activities and/or other academic appointments, paid or unpaid, at universities, medical institutions or other entities which should be part of the biosketch or curriculum vita).

Yes
 No

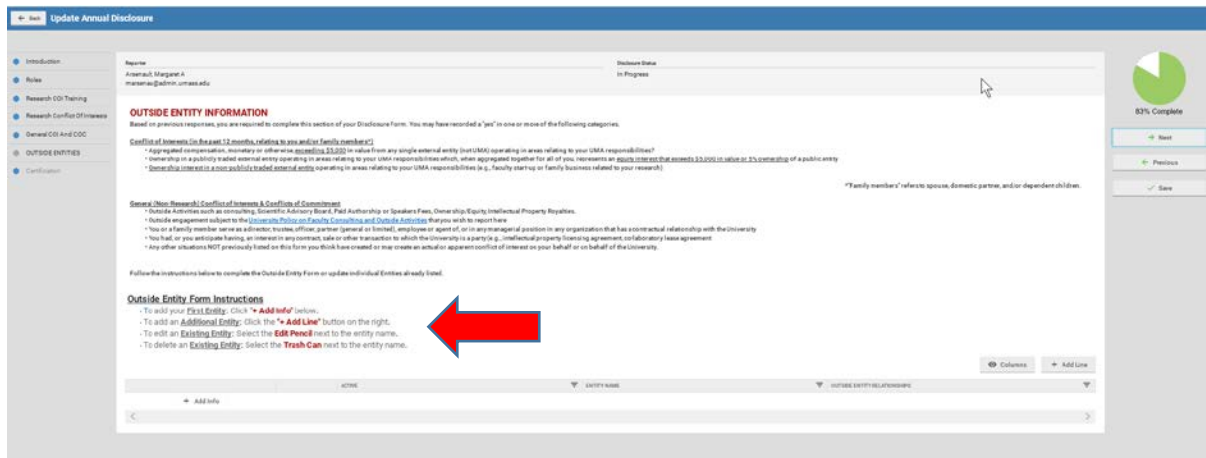
A number of Federal sponsoring agencies have raised concerns regarding foreign influences on research integrity. Do you have any academic or non-academic foreign collaborations (funded or unfunded) that may require disclosure?

Yes
 No

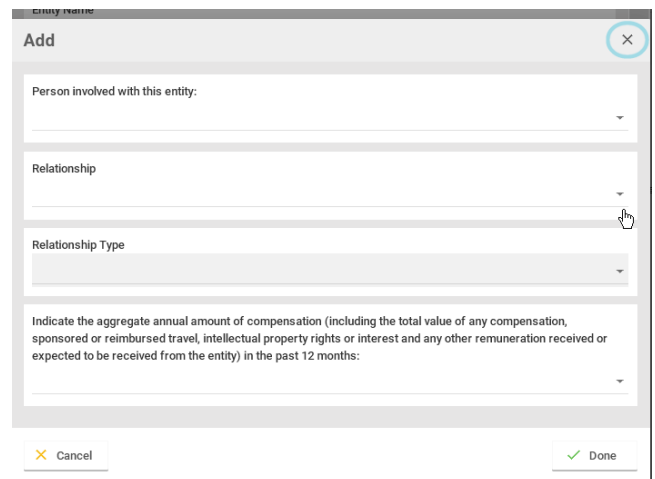
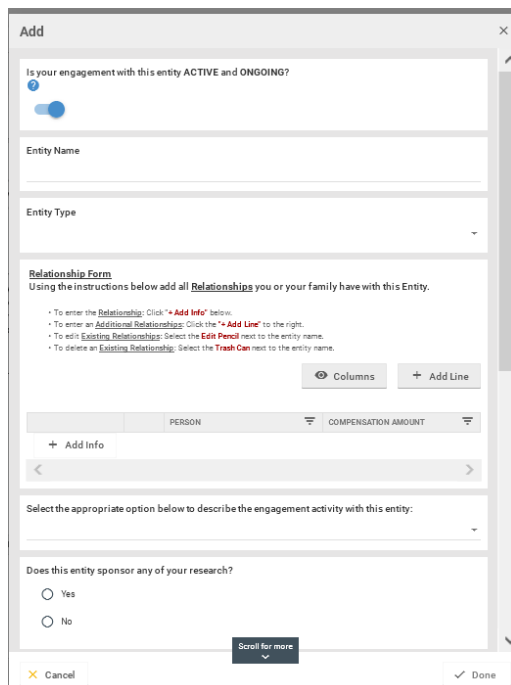
- If you answered **No** to **ALL** of the category questions, you will be brought to the **Certification** page (see below).

Outside Entity Information

- Answering **Yes** to **ANY** of the category questions will bring you to the **Outside Entity Information** page.
 - Follow the instructions in red to add or modify Entities that correspond to your positive answers.



- **Adding an entity:**
 - Click **+Add info** (in black, just below the explanatory text).
 - The **Add Entity** form will appear. Answer **ALL** of the questions using the text boxes and drop down menus.
 - Under the **Relationship** form section, click **+Add Info** and a new pop up will ask you to identify the person involved with this entity and the amount of compensation. Answer all questions here as well.
 - Click **Done** after completing each pop up form.



- Your Entity will now appear in the form, along with the relationship you have just added. If you have multiple relationships with the same entry (perhaps both yourself and your partner, or you have both consulting and speaker fees), click **+Add line** and complete another relationship form.
 - You can also close this and complete another Entity form, listing the same Entity with a different relationship.

Add

Entity Type

Relationship Form
Using the instructions below add all Relationships you or your family!

- To enter the Relationship: Click *** Add Info*** below.
- To enter an **Additional Relationships**: Click the ***+ Add Line*** to the right.
- To edit **Existing Relationships**: Select the **Edit Pencil** next to the entity name.
- To delete an **Existing Relationship**: Select the **Trash Can** next to the entity name.

PERSON	COMPENSATION AMOUNT
Self	\$1,000 to \$2,500
Spouse/Domestic Partner	\$2,500 to \$4,999

Select the appropriate option below to describe the engagement activity with this entity:

Buttons: Cancel, Done

- After you have added all relationships, scroll down to answer the remaining questions and/or upload any required documents.
- Click **Done** to go back to the main **Outside Entity Information** page.
- Repeat this process for all Entities you wish to report and then click **Next**.
- **A message will appear in red at the top of the screen if the form is incomplete.**
 - **Scroll down the page until you find a section surrounded by a red box. That is where the fix needs to occur.**

Update Annual Disclosure

Messages: 7 of the required fields are empty

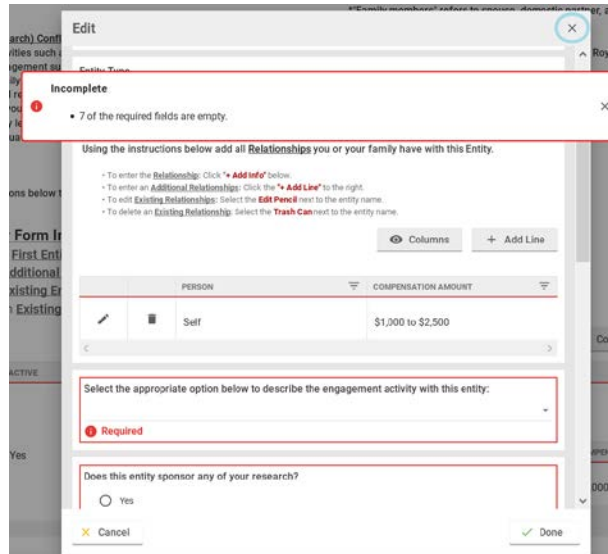
OUTSIDE ENTITY INFORMATION

General Note: Research Conflict of Interest & Disclosure of Commitment

Outside Entity Form Instructions

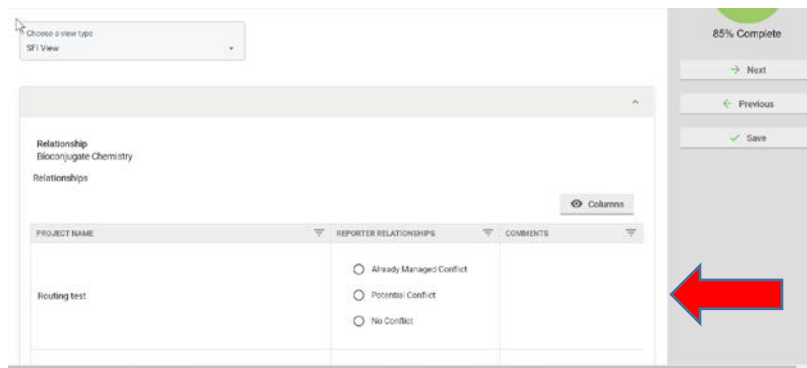
person	compensation
Self	\$1,000 to \$1,000

- Go back into the Entity by clicking on the **Edit Pen** to the left.
 - On the **Edit** page, look for the word **Required** in bold red font and enter the information that is missing.
 - After you have done so, click **Done** to return to the **Outside Entity Information** page. Then click **Save**.
 - If there are still red boxes, return to the **Edit** forms and repeat.



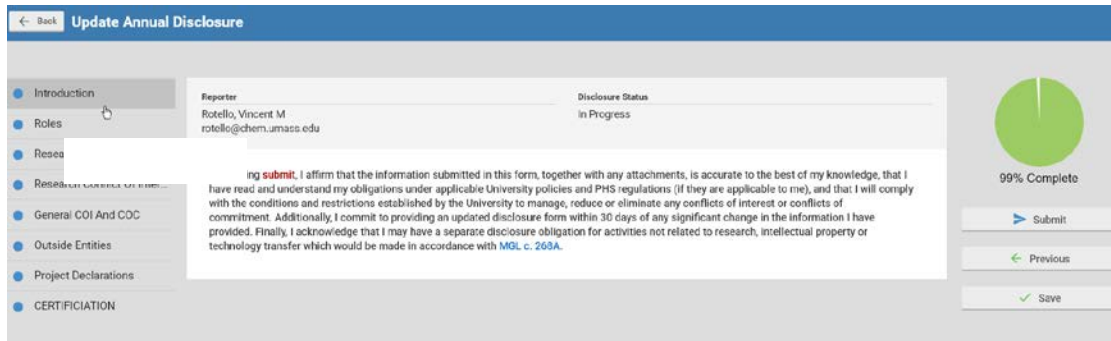
Project Declaration page.

- Next, the form will ask you to assess the relationship between the Entities you included and your project(s).
 - Using the top dropdown menu, choose the **SFI View** or the **Project View**.
 - Under **Reporter Relationships** click the circle that matches your assessment of the relationship between this specific project and the Entity.
 - Enter a comment in the section next to each declaration.
 - Continue down the page until you have entered a declaration for all Projects and Entities, then click **Next**.



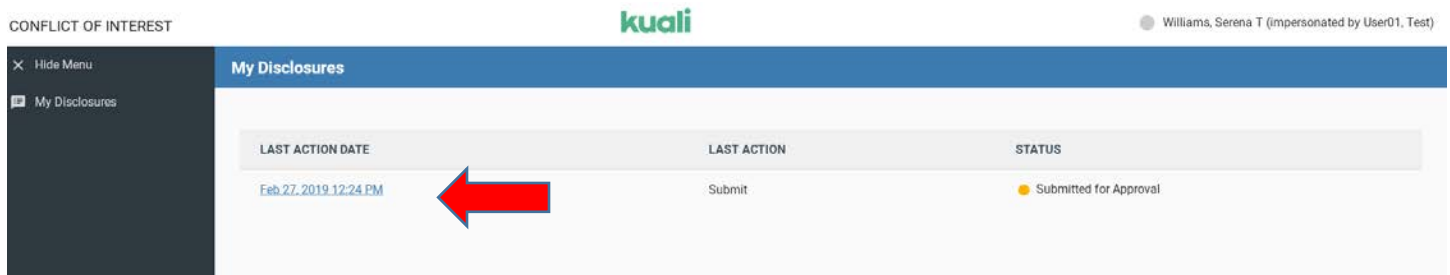
Certification page

- Read the information and click **Submit**. You have now completed your Annual Conflict of Interest Disclosure.



Kuali will bring you back to your main COI page. You will see your disclosure, the last action (which in this case is **Submit**) and the status (**Submitted for Approval** or **Approved**).

- Want to review or print out a copy of your disclosure? Just click the date in blue. It will bring you to an overview of your form, which you can review and print out.



After your disclosure is submitted, it is automatically routed to the Office of Research Compliance where the review process begins. You will receive an email notification when it is approved, if further information is required, if it is due to expire, or if it has expired. In some cases, you will be asked to go back into your disclosure to revise or update the information. See the guide on *Kuali COI Disclosure Revision* more details.

If you have any questions or need assistance with the UMass Amherst online Annual Conflict of Interest Disclosure process, please email rescomp@research.umass.edu or call 413-545-5283.