Quick Start Guide for eCompliance Users
Completing your Annual Conflict of Interest Certification in eCompliance

Accessing the System and Logging in
1. eCompliance can be accessed through the link in the e-mail that is generated by ecompliance@ku.edu;
2. Click on Annual Disclosure Certification for [Your Name] FY201X
3. Log in using your myKUMC Online ID and password.
   (If you need to access eCompliance and you do not have your email link, go to https://ecompliance.ku.edu; log in using your myKUMC Online ID and password, and click the COI tab on the top left in the Red bar, then click on Annual Disclosure Certification for [Your Name] FY201X.
4. Read Notes to Discloser / Instructions on Submitting a Certification on the opening screen.
5. Click Edit Disclosures button on the upper left side to open the certification form.
   OR click on the "No Changes - Submit Certification" button in the column to the left if your information in the system about your institutional responsibilities and financial interests is complete, accurate and up to date.

Completing your Certification
1. Institutional Responsibilities: Answer 7 questions about your responsibilities at KUMC.
2. Which FCOI Policy Applies (KU-L or KUMC): Answer 2 questions to be routed to the appropriate campus.
3. What to Disclose: Read this informational page of disclosure criteria based on your responses in section II.
   Note: Do Not disclose your income or time commitments for your work at KUMC, UKP, and KU Hospital.
4. Disclosure Details:
   a. If you have nothing to disclose, Continue will advance you to the Additional Information screen.
   b. Clicking Add Disclosure will launch the Disclosure SmartForm, guiding you through various screens depending on your relationship with the disclosed entity. The six possible sub-screens are: Equity, Remuneration, Intellectual Property Income, Sponsored Travel, Board Position, and Time Commitment
   i. If you have completed details for this entity, a Disclosure Summary will display your information.
      Review and click Finish or <<Back to edit and finish when ready.
   ii. If you have another entity to disclose, click New Disclosure again to repeat this process.
   iii. When you have completed details for all entities you are disclosing, Continue advances you to the Additional Information screen.
5. Additional Information: List or verify your primary supervisor as listed. Any additional details may be added on this screen. If you are an affiliate (e.g., Univ. of Kansas Hospital, UKP, KCCC, MCA, other institution or entity) please select the Principal Investigator of your project as supervisor.
   a. Submit the certification by checking the box in the bottom right of the page, AND clicking Finish
      OR
   b. Save your draft for later submission by just clicking Finish.

Checking the Status of your Certification
You may view the status of your certification on the Summary tab screen on the top bar marked in yellow. They include:

- Draft: You have not submitted this Certification yet.
- No Review Required: Certification has been submitted AND you have reported no Disclosures (no potential conflicts).
- Administrative Review: Certification has been submitted AND it contains significant financial interest that must be reviewed by the COI Manager.
- Supervisory Review: This will appear only if you reported disclosures on your annual certification or update.
- Under Management/Mitigation Plan: You have a current Management / Mitigation plan for one or more of your disclosures (this will not display on anyone’s screen on the initial certification).
Withdrawn: Your annual certification was not completed within the allotted time.

Key Terms / Definitions:

Covered Persons: All faculty, all other unclassified academic and professional staff, and all Investigators as defined below. Financial interests of a Covered Person include those of the individual’s family or household members as described in the applicable campus reporting forms.

Investigator: The project director or principal investigator or any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research conducted under the auspices of the University. Investigators may include, for example, collaborators or consultants not employed by the University. For the purposes of 42 CFR Part 50 and 45 CFR Part 94 -the new COI Regulations, “investigator” refers only to those identified by the PI on a PHS compliant proposal or sponsored project (effective 8-24-2012).

University Responsibilities: An individual’s responsibilities on behalf of the University, which may include (but are not limited to), activities such as teaching, research, research consultation, administration, professional practice, institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.

Financial Conflict of Interest: A conflict of interest that arises in a situation in which a Significant Financial Interest of a Covered Person compromises or has the appearance of compromising the fulfillment of professional duties; teaching, clinical or scientific judgment; integrity of research data and the research process; or the safety and welfare of patients and/or research subjects.

Remuneration: Includes salary and any payment for services not otherwise identified as salary (e.g., consulting or other fees, honoraria, paid authorship, commissions, etc.). It is NOT NECESSARY TO REPORT KU/KUMC salaries.

Equity Interest: Includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.

Governmental or Educational Entities: Include federal, state, or local government agencies; institutions of higher education as defined at 20 U.S.C. 1001(a); and academic teaching hospitals, medical centers, or research institutes affiliated with an institution of higher education.

Quick Links:

Individual Financial Conflict of Interest Policy and Additional User Guidance can be found on our Web Page

http://www.kumc.edu/compliance/conflict-of-interest.html