User Guide

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(once per year)

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eCOI is an electronic disclosure system intended to fulfill the University reporting obligations of faculty, staff, and student employees who engage in outside activities or who have financial interests that could create a real or perceived conflict of interest and/or conflict of commitment.

The disclosure system consolidates the information needed by the following University offices:

1. Conflict of Interest in Research Office in the Office of the Vice President for Research and Economic Development - conflict of interest related to research

2. Conflict of Interest in Research Office on behalf of the Office of the President - institutional conflict of interest

3. Provost Office and University Human Resources – conflict of interest in the workplace and conflict of commitment

4. Conflict of Interest Office in the Joint Office for Compliance at UI Health Care - conflict of interest and commitment related to clinical care and purchasing decisions at the Hospital

5. Continuing Medical Education Division of the College of Medicine - conflict of interest related to accredited continuing medical education programs
LOG IN TO eCOI

1. Open your internet web browser and type or copy/paste the following into the address bar: https://ecoi.uiowa.edu.

2. Log in to the system using your HawkID and password (NOT your HealthCareID.) If you do not know your HawkID or password, click on the appropriate link below the Login box.

Note: To change the font size in your browser – use the key combination Ctrl + to increase the size, or Ctrl - to decrease the size.
GETTING STARTED

1. Start from the eCOI Overview page.

   If this is your first time logging in to eCOI, you will be taken directly to the eCOI Overview page:

   [Image of eCOI Overview page]

   Overview

   Introduction

   eCOI is an electronic disclosure system intended to fulfill the University reporting obligations of faculty, staff, and student employees who engage in outside activities, have financial interests or other personal considerations that could create a real or perceived conflict of interest and/or conflict of commitment.

   The disclosure system consolidates the information needed by the following University offices:

   1. Conflict of Interest in Research Office in the Office of the Vice President for Research - [link to conflict of interest related to research]
   2. Conflict of Interest in Research Office on behalf of the Office of the President - [institutional conflict of interest]
   3. Provost Office and University Human Resources - [conflict of interest in the workplace and conflict of commitment]
   4. Conflict of Interest Office in the Joint Office for Compliance at UI Health Care - [conflict of interest and commitment related to clinical care and outside professional work]
   5. Continuing Medical Education Division of the College of Medicine - [conflict of interest related to accredited continuing medical education programs]

   Begin Here

   To determine which eCOI questions you are required to answer, please choose the appropriate statement below.

   - [ ] I do not conduct any type of research at The University of Iowa.
   - [ ] I conduct research, but there are no Institutional Review Board (IRB) applications or UI Proposal Routing Forms associated with the research.
   - [ ] I conduct research and none of it is or will be sponsored by a PHS agency.
   - [ ] I conduct research and some of it is or will be sponsored by a PHS agency.

   [Image of eCOI Home Page]

   If you have logged into the system before, you will be taken to the eCOI Home Page. Click on the eCOI Overview link on the right-hand side to access the eCOI Overview page:

   [Image of eCOI Home Page]

   Notifications

   - Your annual certification is incomplete. Click here to complete.

   + About eCOI

   2018 Disclosure

   Add new disclosure report, if applicable.

   You have identified yourself as a researcher not sponsored by a PHS agency.

   [Table of disclosure entries]

   Click here to complete the Annual Certification for 2018. Your disclosure is not complete until you have done the Annual Certification. The deadline is April 30, 2018.
2. Review the eCOI Overview page. At the bottom of the page, click on the link that describes you:

![Begin Here](image)

To determine which eCOI questions you are required to answer, please choose the appropriate statement below.

- I do not conduct any type of research at The University of Iowa.
- I conduct research, but there are no institutional Review Board (IRB) applications or UI Proposal Routing Forms associated with the research.
- I conduct research and none of it is or will be sponsored by a PHS agency.
- I conduct research and some of it is or will be sponsored by a PHS agency.

![Definitions](image)

3. If you select “I DO NOT CONDUCT ANY TYPE OF RESEARCH AT THE UNIVERSITY OF IOWA” or “I CONDUCT RESEARCH, BUT THERE ARE NO INSTITUTIONAL REVIEW BOARD (IRB) APPLICATIONS OR UI PROPOSAL ROUTING FORMS ASSOCIATED WITH THE RESEARCH,” (see above) review the screening questions (see below) and click on the appropriate response (either Final Step or continue).

![Questions](image)

If you select Final Step, you will be routed to one of two places:

a. If you submitted one or more Disclosure Reports in the previous calendar year, you will be routed to Include/Do Not Include Disclosure Reports.

b. If you did not submit any Disclosure Reports in the previous calendar year, you will be taken to the Annual Certification page.

If you select continue, you will be routed to one of two places:

a. If you submitted one or more Disclosure Reports in the previous calendar year, you will be routed to Include/Do Not Include Disclosure Reports.

b. If you did not submit any Disclosure Reports in the previous calendar year, you will be taken to a Disclosure Report.
4. If you select “I CONDUCT RESEARCH AND NONE OF IT IS OR WILL BE SPONSORED BY A PHS AGENCY” or “I CONDUCT RESEARCH AND SOME OF IT IS OR WILL BE SPONSORED BY A PHS AGENCY,” click on the “Click here to continue” link.

- I conduct research and none of it is or will be sponsored by a PHS agency.
- I conduct research and some of it is or will be sponsored by a PHS agency.

Next Step

Conflict of Interest training is required before you begin your disclosure form. Click here to continue.

You will be routed to a short (5-10 minutes) training module which you must review before beginning your disclosure. At the end of the training module, review the screening questions and click on the appropriate response.

5. At the end of the training module, review the screening questions and click on the appropriate response (either Final Step or continue).

2. STOCK, STOCK OPTIONS, OTHER OWNERSHIP INTERESTS: In the previous or current calendar year, did/do you or your immediate family (your spouse, domestic partner, or dependent children) have any equity (e.g., stock, stock options, other ownership interest) in an entity related to your University responsibilities?

3. FAMILY MEMBER COMPENSATION: In the previous or current calendar year, did/does any member of your immediate family (spouse, domestic partner, or dependent children) receive any compensation (other than stock dividends or proceeds from the sale of stock) from an entity related to your University responsibilities?

4. LICENSING/ROYALTY INCOME: In the previous or current calendar year did you or any member of your immediate family (your spouse, domestic partner, or dependent children) receive any licensing or royalty income where the field of the patent, patent application, or copyright is related to your University responsibilities or field of expertise?

5. UNIVERSITY OFFICIAL: Do your University responsibilities fall under the definition of “University Official,” as defined by the University Institutional Conflict of Interest Policy (University President, provost, vice presidents, associate provosts, associate vice presidents, treasurer, controller, deans, associate and assistant deans, departmental executive officers, and the heads of centers and institutes)?

If the answer to all of these questions is NO, continue to the Final Step.

If the answer to one or more of these questions is YES, please continue.
If you select Final Step, you will be routed to one of two places:

a. If you submitted one or more Disclosure Reports in the previous calendar year, you will be routed to Include/Do Not Include Disclosure Reports.
b. If you did not submit any Disclosure Reports in the previous calendar year, you will be taken to the Annual Certification page.

If you select Continue, you will be routed to one of two places:

c. If you submitted one or more Disclosure Reports in the previous calendar year, you will be routed to Include/Do Not Include Disclosure Reports.
d. If you did not submit any Disclosure Reports in the previous calendar year, you will be taken to a Disclosure Report.

INCLUDE/DO NOT INCLUDE DISCLOSURE REPORTS

1. If you completed and submitted one or more Disclosure Reports in the previous calendar year, you will be directed to this screen before you can complete your Annual Certification. Follow the directions to determine whether or not to include the same Disclosure Reports that you submitted in the previous calendar year in your current year’s disclosure process.

If you want to include the Disclosure Report you completed in the previous calendar year on your disclosure form for the current calendar year, click on “Include your Disclosure Report on (current year) disclosure form.”

If you did not have an outside interest/relationship with the entity in the previous calendar year and if you do not anticipate having an interest/relationship with the entity in the current calendar year, click on “Do Not Include Disclosure Report on (current year) disclosure form.”

<table>
<thead>
<tr>
<th>Entity or Personal Consideration</th>
<th>Include Disclosure Report on 2018 disclosure form</th>
<th>Do Not Include Disclosure Report on 2018 disclosure form</th>
</tr>
</thead>
<tbody>
<tr>
<td>DataMasters of Iowa, Inc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Astra Merck, Inc.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. After you have reviewed and indicated whether or not to include each previous Disclosure Report in your current disclosure process, you will be directed to a summary page of your Disclosure Reports. If you have incomplete Disclosure Reports, you will be directed back to the eCOI Home Page to complete or remove them. You should also report new financial interests on the eCOI Home Page.
3. Once you have completed or removed any incomplete Disclosure Reports, go to the Annual Certification page for the current year.

ANNUAL CERTIFICATION

1. The Annual Certification will only be completed once per year. The certification period is January 1- April 30. Changed or new financial interests should be reported throughout the year by revising an existing Disclosure Report or submitting a new Disclosure Report.

   NOTE: Annual Certification is a two-step process for faculty personnel. As part of the disclosure process, faculty are required to complete additional personal consideration(s) questions before submitting their Annual Certification.

2. After you have indicated that you either (a) have no applicable financial interests with outside entities or other personal considerations related to your University responsibilities OR (b) have completed all Disclosure Reports for your existing financial interest(s) with outside entities:
Annual Certification for Herky Hawk

* I have no financial interests, outside professional activities, or other relationships related to my University responsibilities to disclose.
  - This statement is true.
  - This statement is not true.

OR

* The following reports include all of my outside professional activities, personal considerations, and financial interests related to my University responsibilities or field of expertise:

<table>
<thead>
<tr>
<th>Entity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apple Computer, Inc.</td>
</tr>
<tr>
<td>Rockwell Collins, Inc.</td>
</tr>
<tr>
<td>Astra Merck, Inc.</td>
</tr>
</tbody>
</table>

- The above statement(s) is/are true.
- The above statement(s) is/are not true.

3. **If you are faculty, the next step is to complete** the Personal Consideration(s) questions.

**PERSONAL CONSIDERATIONS** (faculty only)

This section consists of 5 questions with “Yes” or “No” responses, and a free text box for additional details.

* The following reports include all of my outside professional activities, personal considerations, and financial interests related to my University responsibilities or field of expertise:

<table>
<thead>
<tr>
<th>Entity</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Diabetes Association, Iowa Affiliate</td>
</tr>
<tr>
<td>AstraZeneca Pharmaceuticals LP</td>
</tr>
</tbody>
</table>

- The above statement(s) is/are true.
- The above statement(s) is/are not true.

---

I have the following additional Personal Consideration(s) that may interfere, or have the appearance of interfering, with the objective performance of my University duties or my professional judgment in performing my University duties.

I supervise the academic work of a member of my immediate family or someone with whom I have a close personal relationship. Please describe below.
- **Yes**
- **No**

I employ or assign duties to supervisees and/or UI students in support of an outside interest unrelated to my university responsibilities. Please describe below.
- **Yes**
- **No**

I serve as an elected official in a public entity that does or has the potential to do business with UI. Please describe below.
- **Yes**
- **No**

I own or manage a business unrelated to my university responsibilities and not previously disclosed, the success of which could be impacted by the decisions I make in my university role (e.g., an apartment complex, catering business). Please describe below.
- **Yes**
- **No**

I have Other Personal Considerations. Please describe below.
- **Yes**
- **No**
If you select “Yes” to any of the additional Personal Consideration questions, you will be directed to a free text box to provide additional details.

I or my immediate family own or manage a business unrelated to my university responsibilities and not previously disclosed, the success of which could be impacted by the decisions I make in my university role (e.g., an apartment complex, catering business). Please describe below.

I have Other Personal Considerations. Please describe below.

* Please provide additional details about the answer(s) you selected above.

Note: If you selected “The above statement(s) is/are not true,” click on Complete, Create or Remove a Disclosure Report. You will be taken back to the eCOI Home Page, where you can add a new Disclosure Report, or remove or complete an unfinished report.

4. **The final step is to submit** your Annual Certification.

![Annual Certification]

By submitting this form, I certify that:

- The above information is submitted by me, not a proxy or surrogate, and is true and complete to the best of my knowledge and understanding.
- I have read and agree to comply with the following policies if they apply to me:
  - [Ui Health Care Conflict of Interest and Conflict of Commitment Policy](https://www.uihealthcare.com/)
  - [Ui Policy on Conflict of Interest in Research](https://uiowa.edu/policies-conflict-of-interest-research-
  - [Ui Conflict of Commitment Policy](https://uiowa.edu/policies-conflict-of-commitment-policy)
  - [Conflict of interest in the Workplace Policy](https://uiowa.edu/policies-conflict-interest-workplace-policy)
  - [Institutional Conflict of Interest in Human Subjects Research Policy](https://uiowa.edu/policies-institutional-conflict-interest-human-subjects-

Your disclosure is not complete until you enter your name below and click Certify.

Signature: Enter your name here

**CANCEL** **CERTIFY**

- Click on **Cancel** if you do not want to save any answers that have not been previously saved.
- Click on **Certify** to complete the submission of this report.
Type your name on the signature line and click on the CERTIFY button. Please note that you must click the CERTIFY button in order for you Annual Certification to be complete. You can also click on the CANCEL button if you do not wish to submit your certification at this time.

If you click CERTIFY, a confirmation page will appear and give you the option to print your certification page or return to the eCOI Home page. If you have completed submitting your information, you can click Logout in the upper right-hand corner and exit the eCOI system.

**DISCLOSURE REPORTS**

**What is a Disclosure Report?**

A Disclosure Report is the form used to report financial interests with non-University of Iowa entities or other personal considerations. The Report uses “smart form” technology – based on how you answer certain questions, additional questions may appear on the form. A separate Disclosure Report must be completed for each financial interest or non-UI entity with which you have a financial interest.

**Do I need to submit a Disclosure Report?**

You should submit a Disclosure Report if you have a financial interest with an outside entity when the entity is related to your University responsibilities or if you are a University Official. Please see the eCOI Overview page for the full definitions of “entity,” “University responsibilities” and “University Official.”

**When should I submit a Disclosure Report?**

Initially, you will submit any Disclosure Reports as part of your disclosure process before you complete your Annual Certification. As part of your Annual Certification process, you will complete additional Personal Consideration questions prior to submitting your Annual Certification. For the full definition of “Personal Consideration,” please see the eCOI Overview page.

After your Annual Certification is complete, you must submit new or revise any current Disclosure Reports within 30 days of acquiring a new or changed financial interest with an outside entity.

**What information do I need to gather before I begin completing a Disclosure Report?**

Tax records from the previous calendar year may be helpful, since you will be asked how much compensation you received from the entity, including travel expenses, income from dividends or the sale of stock, and income from licensing or royalties.

If you are involved in research (non-PHS or PHS-funded), and/or hold a faculty position, and/or are a P&S staff member at pay level 7 or above, you will be asked about the value of stock ownership in the entity for both you and your immediate family members (spouse, domestic partner, or dependent children) as well as compensation your family members received from the entity.

In addition, you should have last year’s appointment calendar available as you complete a Disclosure Report. That is because if you are involved in any PHS-funded research, you must report the total number of days and destination of any sponsored or reimbursed travel. In addition, if you are a faculty member or a P&S staff member at pay level 7 or above, you will be asked about the number of business days you engaged with this entity.
How do I submit a Disclosure Report?

1. You will be routed to a Disclosure Report form if you review the screening questions on the eCOI Overview page and choose continue.

You can also start, complete, or amend a Disclosure Report from the eCOI Home Page:

2. Answer the questions on the Disclosure Report. Based on how you answer certain questions, more questions may appear. Questions marked with a red asterisk require a response before you can move to the next screen.

3. To continue through the Disclosure Report, click on the CONTINUE button at the bottom of the screen. If you do not wish to continue but want to save your answers, click on the SAVE button. If you do not wish to continue or save your answers, click on the CANCEL button.
4. After you have answered all of the questions, review the answers which appear in the Disclosure Report Summary:

**Disclosure Report Summary for Iowa Beef Council Inc.**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>*</td>
<td>Required field</td>
</tr>
</tbody>
</table>

1. * Enter the name of the entity with which you have a financial interest or with whom you have engaged in outside professional activities. In the box below, type the first letters of the entity's name until the correct name appears. If the entity is not on the list, you may type in the full name of the entity.

   **Iowa Beef Council Inc.**

2. * Type Of Entity:

   for-profit non-publicly-traded

3. Which aspects of your professional role at the University are related to the activities or financial interest with the entity named above? (check all that apply):

   - I evaluate and make recommendations regarding this entity's products or services on behalf of the University (not as part of my research if I perform research)
   - I use my expertise/professional knowledge

4. * OUTSIDE PROFESSIONAL ACTIVITIES: Did you perform any outside professional activities with a non-Ul entity in the previous calendar year, or do you plan to perform any such activities in the current calendar year? This refers to professional activities in the same field of expertise as your job at the University.

5. Click on the BACK button at the bottom of the page if you wish to revise any answers. Do not use your web browser’s back button.

   In order to complete your Disclosure, you must type your name on the Signature line. Then click on the COMPLETE DISCLOSURE REPORT button to submit the report. (You can amend or remove this report from your eCOI Home Page.)

   **Your disclosure is not complete until you enter your name below and click Complete Disclosure Report**

   [Signature: Enter your name here]

   [Back | Save | Cancel | Complete Disclosure Report]

   - Click on Back if you would like to return to the previous page.
   - Click on Save to save the answers on this screen. If you return at a later time, these answers will have been saved.
   - Click on Cancel if you do not want to save any answers that have not been previously saved.
   - Click on Complete Disclosure Report to finish the report.

6. After completing the Disclosure Report, you can submit another report, or proceed to the Final Step if you have not yet completed your Annual Certification. You can also view your Annual Certification if you have already completed it.

   [I have completed the following Disclosure Report(s)]

<table>
<thead>
<tr>
<th>Entity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pfizer Ophthalmics</td>
</tr>
<tr>
<td>Apple Computer, Inc.</td>
</tr>
<tr>
<td>Bayer Healthcare AG</td>
</tr>
<tr>
<td>Iowa Beef Council Inc.</td>
</tr>
</tbody>
</table>

   If you have more Disclosure Reports to complete Add New here.

   If you are done with all Disclosure Reports, proceed to Final Step.
How do I complete, modify, or remove a Disclosure Report?

The eCOI Home Page will list all Disclosure Reports you have initiated and/or completed. Click on the appropriate link in the Actions column to View, Amend, Remove, or Complete a Disclosure Report. Note: If the disclosure is incomplete, you will be given the option to Complete the report. If the report is completed, you will be given the option to Amend the report. All reports have option to View or Remove.

### eCOI HOME PAGE

The top of your eCOI Home Page may list notifications that pertain to you, such as notifying you that your Annual Certification is incomplete, or that there is a Disclosure Report that is started but that you have not finished or submitted.

### 2018 Disclosure

**Add new disclosure report, if applicable.**

You have identified yourself as a researcher not sponsored by a PHS agency.

<table>
<thead>
<tr>
<th>Entity</th>
<th>Last Submitted Date</th>
<th>Form Status</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>AstraZeneca Pharmaceuticals LP</td>
<td></td>
<td>Not Complete</td>
<td>View, Amend, Remove</td>
</tr>
<tr>
<td>American Diabetes Association, Iowa Affiliate</td>
<td>12/29/2017</td>
<td>Complete</td>
<td>View, Amend, Remove</td>
</tr>
<tr>
<td>Hawkeye Community College</td>
<td>12/29/2017</td>
<td>Complete</td>
<td>View, Amend, Remove</td>
</tr>
</tbody>
</table>

**Notifications**

- Please complete your saved Disclosure Report for Delta Dental of Iowa. [Click here to complete]
- Your annual certification is incomplete. [Click here to complete]
Click on the appropriate link under the Help section to access definitions, screening questions, and other information:

![Help section image]

You can add a new Disclosure Report for an entity from the Home Page or View, Amend, Remove, or Complete any Disclosure Reports by clicking on the appropriate link under the Actions column:

![Disclose report table]

After you have completed your Annual Certification, you can view your completed certification or see when your next Annual Certification is due:

![Completed Certification]

**View your completed Annual Certification**

- Your next Annual Certification is due between 1/1/2019 and 4/30/2019.
CONTACTS

Please contact us if you have any questions.

UI Health Care Conflict of Interest Office  384-5252  coi@healthcare.uiowa.edu
UI Conflict of Interest in Research Office &
UI Institutional Conflict of Interest  353-3052 or 384-4256  coi-research@uiowa.edu
Office of the Provost  335-3991  faculty@uiowa.edu
University Human Resources  335-3558  kevin-ward@uiowa.edu
Continuing Medical Education Division  335-8599