

Editing an Annual Disclosure or Amendment

**University of Central Florida's
Conflict of Interest & Commitment System**

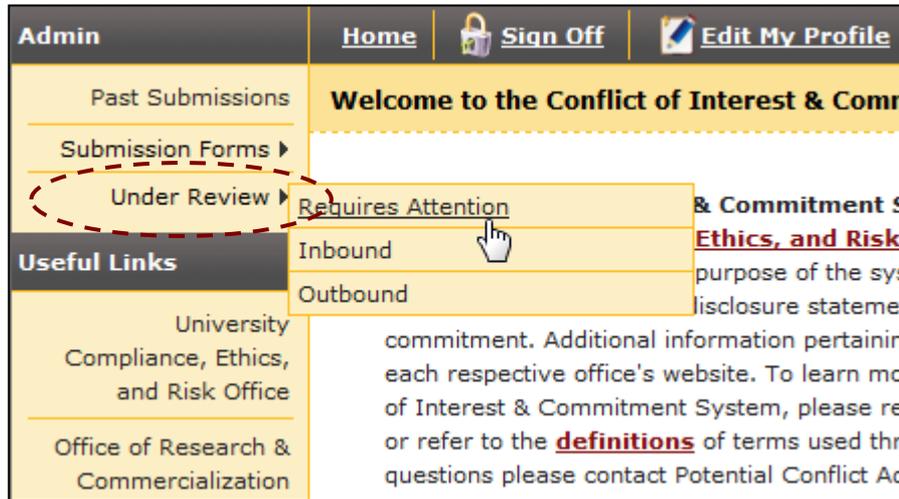
This Training Session will cover:

- ❖ **Editing an Annual Disclosure or Amendment**
 - Accessing the form
 - Locating the Edit Option
 - Making edits
 - Uploading a monitoring plan
 - Revising an annual update

Training Sessions available separately:

- ❖ **Introduction**
- ❖ **Guidance for Responding/Reviewing Disclosure Questions**
- ❖ **Submitting an Annual Disclosure**
- ❖ **Reviewing a Disclosure**
- ❖ **Submitting an Amendment**
- ❖ **Definitions**

Accessing your form when it is Under Review...



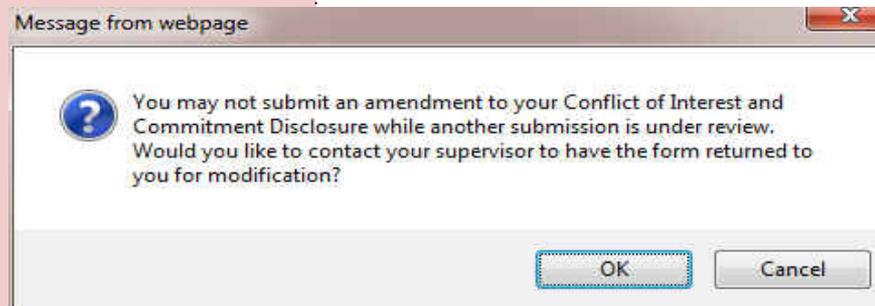
❖ After your form is submitted, it is in “Under Review” status.

❖ Go to ARGIS (<https://argis.research.ucf.edu/coi>), Sign On, and select the Under Review menu option.

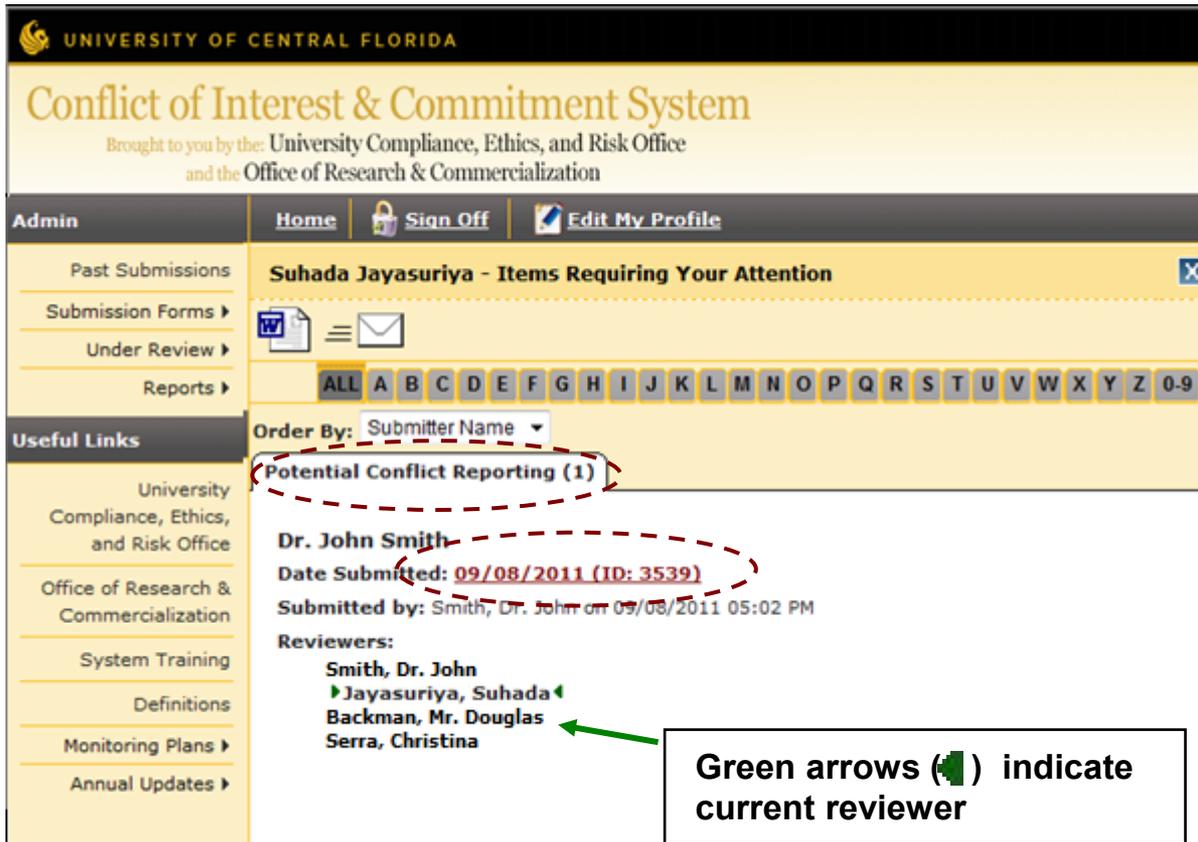
- If your form is returned for modifications...
 - Access your form by going to Under Review/ Requires Attention
 - You may also use the link sent via email when changes are requested.
- To monitor the review process...
 - After you submit your form, you can follow the review by going to Under Review/ Outbound.

NOTE: Only one submission can be in draft or under review at a given time. To modify your disclosure while it is under review, the active reviewer must return it to you.

➤ If you attempt to fill the form out again, the system will detect if a form is already under review and ask if you want to request the active reviewer to return the form to you. Selecting OK will send an email on your behalf. When the form is returned you will be emailed.



❖ After making a selection from the “Under Review” menu:



The screenshot displays the University of Central Florida's Conflict of Interest & Commitment System. The main header reads "UNIVERSITY OF CENTRAL FLORIDA Conflict of Interest & Commitment System", with a sub-header "Brought to you by the: University Compliance, Ethics, and Risk Office and the Office of Research & Commercialization". The navigation bar includes "Admin", "Home", "Sign Off", and "Edit My Profile". The left sidebar lists "Past Submissions", "Submission Forms", "Under Review", "Reports", and "Useful Links". The main content area shows a notification for "Suhada Jayasuriya - Items Requiring Your Attention" and a list of items under review, ordered by "Submitter Name". One item is highlighted: "Potential Conflict Reporting (1)" by "Dr. John Smith", submitted on "09/08/2011 (ID: 3539)". The reviewers listed are "Smith, Dr. John", "Jayasuriya, Suhada", "Backman, Mr. Douglas", and "Serra, Christina". A green arrow points to the name "Suhada" in the reviewer list, and a text box explains that green arrows indicate the current reviewer.

- Select the Potential Conflict Reporting tab.
- The reviewers involved will be displayed, along with dates and comments if the form was sent back and forth.
- Select the date of submission to view the form and any review comments made to date.

❖ If the form is returned to you for changes, select the **Edit Icon** located in the toolbar area to access the edit version of the form.



❖ Previously submitted responses will be shown.

Select edit icon to access the edit form

 UNIVERSITY OF CENTRAL FLORIDA

Conflict of Interest & Commitment System

Brought to you by the: University Compliance, Ethics, and Risk Office
and the Office of Research & Commercialization

Admin | [Home](#) | [Sign Off](#) | [Edit My Profile](#)

Past Submissions

Submission Form

Under Review

Reports

Useful Links

[University Compliance, Ethics, and Risk Office](#)

[Office of Research & Commercialization](#)

[System Training](#)

[Definitions](#)

[Monitoring Plans](#)

[Annual Updates](#)

Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure (AA-21) Details





THIS CONFLICT OF INTEREST REQUIRES ACTION BY YOU.

NOTE: This disclosure was returned to you for additional information. Please reference the reviewer notes below. Then select the "Edit" icon  in the toolbar above. Once you have made all of your changes, use the "Save and Resubmit" button at the bottom of the edit form.

Need help? Review the [training materials](#) available or contact Potential Conflicts Administration at PCA@ucf.edu.

SENSITIVE INFORMATION - Can not be disclosed without proper authorization

UNIVERSITY OF CENTRAL FLORIDA

POTENTIAL OUTSIDE ACTIVITY, EMPLOYMENT, AND CONFLICT OF INTEREST AND COMMITMENT DISCLOSURE (AA-21)

Employee: Dr. John Smith

Employee Type: 12 Month Faculty

Job Title:

Unit: College of Engineering and Computer Science (CECS)/Mechanical, Materials & Aerospace Engineering

Purpose:
The purpose of this disclosure statement is for all faculty, post docs, and executive service to ensure that no unresolved conflict exists between their

Reporting Period: 08/08/2011 - 08/07/2012

PCR ID: 3539 (Submitted on: 09/08/2011)

Status: Under Review

❖ When viewing the edit form you may:

- **Add a new response**
 - Complete the sub-questions for the main question you are responding to and then press “Add/Save Response”.
- **Edit a response**
 - Select the link to edit next to each response where this icon is shown:  The values of your response will display in the sub-question fields for you to edit, then press “Add/Save Response”.
- **Indicate you will not engage in an activity**
 - You can only delete responses while your form is in DRAFT status. Select: 
 - If your form is Under Review, responses cannot be removed. Check the box provided to indicate you have changed your mind and will not be engaging in the activity.

❖ Press “Save and Resubmit” at the bottom of the form to commit your changes.

9. During the current reporting period do you intend to commit university resources (i.e., personnel, materials & supplies, equipment, facility use, departmental or project funds) to purchase goods and services from or provide services to any entity in which you or your immediate family are an officer, partner or proprietor of the entity, have a material interest (direct or indirect ownership) of 5% or more of the total assets or capital stock of the business entity, and/or hold any employment or contractual relationship with the entity? You must report proposed subcontract SBIR/STTR sponsored funding activity to the university from any entities owned or managed by you and/or your immediate family members.

Response: Yes No

Entity Name:

Sponsoring your research: Yes No

Intellectual property rights: Yes No

Are you or your immediate family an officer, partner or proprietor of the entity? Yes No

Do you or your immediate family have a material interest in the entity? Yes No

Do you or your immediate family hold any employment or contractual relationship with the entity? Yes No

In accordance with FS 112.313(12)(a) - (j)

Responses:

Entity Name:	3M Company
Sponsoring your research:	Yes
Intellectual property rights:	Yes
Managerial Position?:	Yes
Position Held:	Board of Director
Party:	Self
Material Interest?:	Yes
Describe material interest:	I have a 25% interest in the company.
Party:	Self
Employment or Contractual Relationship?:	Yes
Describe contractual relationship:	I receive compensation for the Board position I hold.
Party:	Self
In accordance with FS 112.313 (12)(a) - (j) exemptions, are you exempt?:	No
Exemption Form:	Exemption Form (Original Filename: Exemption.docx) Filesize: 144 KB Uploaded: 10/11/2011

❖ If the form has been returned to you to upload a Monitoring Plan:

- There is a conflict with the response provided to a question, however, it can likely be mitigated through a monitoring plan defining the boundaries of the activity such that it will not interfere with your assigned duties and/or objectivity.
- Each question provides a format for the monitoring plan you must provide.
 - Select the link “**formatted monitoring plan**” to download the specified format to fill out and SAVE on your computer. See next slide for additional ways to access the monitoring plan.
 - Press “**Browse**” to locate the saved form on your computer and upload it into the form.
 - You may also **opt not to engage in the activity** and not upload a plan.
- Press Submit at bottom of form.

9. During the current reporting period do you intend to commit university resources (i.e., personnel, materials & support departmental or project funds) to purchase goods and services from or provide services to any entity in which you or officer, partner or proprietor of the entity, have a material interest (direct or indirect ownership) of 5% or more of the business entity, and/or hold any employment or contractual relationship with the entity? You must report proposed sponsored funding activity to the university from any entities owned or managed by you and/or your immediate family.

Yes

Responses:

Entity Name:	3M Company
Sponsoring your research:	Yes
Intellectual property rights:	Yes
Managerial Position?:	Yes
Position Held:	Board of Director
Party:	Self
Material Interest?:	Yes
Describe material interest:	I have a 25% interest in the company.
Party:	Self
Employment or Contractual Relationship?:	Yes
Describe contractual relationship:	I receive compensation for the Board position I hold.
Party:	Self
In accordance with FS 112.313 (12)(a) - (j) exemptions, are you exempt?:	No
Exemption Form:	Exemption Form (Original Filename: Exemption.docx) Filesize: 144 KB Uploaded: 10/11/2011

Review:

Conflict Identified

[R] Upload formatted monitoring plan:

[R] Monitoring Plan Options:

Upload monitoring plan

I will not engage in this activity or activity has ended

Suhada Jayasuriya
10/11/2011 09:46AM: Conflict Identified, Monitoring Plan Required
Comments: Since this company is sponsoring your research, a monitoring plan is required.

Select link to download monitoring plan format.

Press “Browse” to locate the file on your computer and upload to the form.

Choose the 2nd option if you decide not to engage in the activity.

Monitoring Plans

There are two types of Monitoring Plans

Please use the appropriate form based on the nature of the conflict. The two different types of monitoring plans are explained below with links to access.

1. Sponsored Programs/Research

The *Monitoring Plan for Potential Conflicts of Interest (MP-1)* form is found on the Office of Research Compliance website

<http://www.coi.ucf.edu/forms.html>

Note: **Exemption** forms are also found on this site

2. Non-Sponsored Programs/Non-Research

The *Conflict of Interest or Commitment Monitoring Plan (non-sponsored programs or research)* form is found on the University Compliance, Ethics, and Risk website.

<http://compliance.ucf.edu/conflict-of-interest/>



Conflict of Interest Monitoring Plan (Sponsored Programs)

This Monitoring Plan addresses actual or potential conflicts of interest arising from an employee's outside activity with the outside entity listed below (the Entity).

Employee Name:	
University Position:	
% Full Time Equivalent (FTE)	
Faculty Appointment Type:	<input type="checkbox"/> N/A <input type="checkbox"/> 9 month <input type="checkbox"/> 12 month <input type="checkbox"/> Tenured
Department and College/Research Unit:	
E-Mail:	
Entity Name:	
Date:	

SECTION 1: Reason for Monitoring (Select the option that applies)

- I disclosed a financial interest and/or outside activity that requires an exemption pursuant to Section 112.313(12)(h), Florida Statutes. **The Conflict of Interest Exemption Form is attached.** This Monitoring Plan is effective the same period approved for the corresponding Exemption.
Skip to Section 4
- I disclosed a financial interest and/or outside activity that does not require an exemption from Florida Statutes, but will only be permitted with an approved Monitoring Plan. This Monitoring Plan is effective upon execution of all parties and will remain in effect until circumstances are documented that dictate otherwise.
Continue to Section 2



Conflict of Interest or Commitment Monitoring Plan (Non-sponsored programs or research)

Is this a new monitoring plan or an update to an existing plan?

Full Name: EmplID:

College/Area: Department/Unit:

Campus Address:

Campus Phone: Campus E-mail:

Current Position: 9 month 12 month

❖ If the form has been returned to you to revise an Annual Update:

- Activities previously submitted that are under an active monitoring plan require an annual update to be submitted if the activity continues into the next reporting period.
- After uploading the annual update, reviewers assess the document provided. If changes are required, the update will not be approved and comments will be provided. An email will be sent to you to review the submission again.
- Each question provides a format for the annual update. Ensure you followed the format indicated and then adjust your file according to the comments.
- NOTE: Annual updates may only be modified when returned to you as not approved by a reviewer.
- Press Submit at bottom of form.

7. During the current reporting period do you intend to engage in any teaching activity external to UCF (lectures, training)? **Consulting** activity should be reported in Q 10.

Yes

Responses:

Entity Name: American University

Course/Activity Name: Computer Communication Networks

Instructional Method: Face-to-face

Instructional Method: Web-based

Description: Network models. Media access protocols. Data link control. Routing and flow control. Internetworking. Current architectures and protocols: OSI, ethernet, token, ring, FDDI, HSLC, X.25, etc.

Time Commitment: 3 Hours Per Week from 08/08/2011 - 08/07/2012

Indicate the total amount of time committed to this activity: 1 1/2 hour lecture, twice per week.

Review:

[R] Upload formatted Annual Update:

[R] Annual Update Options:

Upload annual update

I will not engage in this activity or activity has ended

On File: **Annual Update** (Original Filename: coi_annual_update.pdf) Filesize: 5 KB Uploaded: 10/11/2011 10:08:08 AM

On File: **Monitoring Plan** (Original Filename: coi_monitoring_plan.pdf) Filesize: 140 KB Uploaded: 12/21/2010 02:38:03 AM

Suhada Jayasuriya

10/11/2011 10:11AM: Annual Update Not Approved

Comments: Please review the deliverables included in the monitoring plan and update your annual submission accordingly.

Use link to download the annual update format.

“Browse” to locate the file on your computer and upload to the form.

Choose the 2nd option if you decide not to continue the activity.

Select links to view documents on file.

- ❖ Information on COI policies, regulations, and requirements are available on the following websites:
 - University Compliance, Ethics, and Risk
<http://compliance.ucf.edu/conflict-of-interest>
 - Office of Research- Research Integrity Compliance
<http://www.coi.ucf.edu>
- ❖ For assistance or questions contact the Potential Conflicts Administration email, PCA@ucf.edu