# Editing an Annual Disclosure or Amendment

# **University of Central Florida's**

**Conflict of Interest & Commitment System** 



### Training Session Topics

# 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...

Admin	Home	Edit My Profile
Past Submissions	Welcome to the Conflict of	Interest & Comn
Submission Forms 🕨		
Under Review 🖡	Requires Attention	& Commitment S
Useful Links	Inbound	Ethics, and Risk purpose of the sys
University Compliance, Ethics, and Risk Office	commitment. Additional information pertainin each respective office's website. To learn mo of Interest & Commitment System, please re	
Office of Research & Commercialization	or refer to the <b>definitions</b> questions please contact P	of terms used thr otential Conflict Ad

<u>NOTE:</u> Only <u>one</u> 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 your form is submitted, it is in "Under Review" status.

Go to ARGIS

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

- If your form is returned for modifications...
  - Access your form by going to <u>Under Review/ Requires Attention</u>
  - 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 <u>Under Review/ Outbound</u>.





# Accessing your form when it is Under Review...

# After making a selection from the "Under Review" menu:

S UNIVERSITY OF CENTRAL FLORIDA				
Conflict of In Brought to you by the and the	terest & Commitment System he: University Compliance, Ethics, and Risk Office Office of Research & Commercialization			
Admin	Home 🔒 Sign Off 🛛 🔀 Edit My Profile			
Past Submissions	Suhada Jayasuriya - Items Requiring Your Attention			
Submission Forms >				
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Reports 🕨	ALL A B C D E F G H I J K L M N O P Q R S T U V W X Y Z 0.9			
Useful Links	Order By: Submitter Name			
University Compliance, Ethics, and Risk Office	Potential Conflict Reporting (1) Dr. John Smith			
Office of Research & Commercialization	Date Submitted: 09/08/2011 (ID: 3539) Submitted by: Smith, Dr. John on 09/08/2011 05:02 PM			
System Training	Reviewers: Smith. Dr. John			
Definitions	Dayasuriya, Suhada Backman, Mr. Douglas			
Monitoring Plans >	Serra, Christina			
Annual Updates 🕨	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.



### Accessing the Edit Option

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.

	🍇 UNIVERSITY OF	CENTRAL FLORIDA
Salact adit	Conflict of In Brought to you by and th	the: University Compliance, Ethics, and Risk Office Office of Research & Commercialization
icon to access the	Admin Past Submissions Submission Pomery Under Review F	Home       Sign Off       Call Edit My Profile         Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure (AA-21) Details       Image: Call Interest
edit form	Reports 🕨	THIS CONFLICT OF INTEREST REQUIRES ACTION BY YOU.
	Useful Links University Compliance, Ethics, and Risk Office Office of Research & Commercialization	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 D training materials available or contact Potential Conflicts Administration at PCA@ucf.edu.
	System Training	
	Definitions	SENSITIVE INFORMATION - Can not be disclosed without proper authorization
	Monitoring Plans 🕨	UNIVERSITY OF CENTRAL FLORIDA POTENTIAL OUTSIDE ACTIVITY, EMPLOYMENT, AND CONFLICT OF INTEREST AND COMMITMENT DISCLOSURE (AA-21)
	Annual Updates ▶	Employee: Dr. John Smith Employee Type: 12 Month Faculty Job Title: Unit: College of Engineering and Computer Science (CECS)/Mechanical, Materials & Aerospace Engineering Burpoce:
		The purpose of this disclosure statement is for all faculty, post docs, and executive service to ensure that no unresolved conflict exists between their



# Making edits...

#### 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 "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 sub-question fields for you to edit, then pr "Add/Save Response"."

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- Indicate you will not engage in an activ
  - 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.

		E CENTRAL ELORIDA	
	Condition of I	interest 0. Committee and Contern	
•	CONTINCT OF INTEREST & COMMITMENT SYSTEM Break to use by the University Commitment System		
	and t	he Office of Research & Commercialization	
	Admin	Home 🔒 Sign Off 📝 Edit My Profile	
	Past Submissions	Potential Outside Activity, Employment, and Conflict of Interest and Commitment Disclosure (AA-21)	×
	Submission Forms >		
	Reports )	Nand Jala	
press	Configuration	Review the <sup>(1)</sup> training materials available or contact Potential Conflicts Administration at <u>PCA@ucf.edu</u> .	
•	Useful Links		
	University Compliance	UNIVERSITY OF CENTRAL FLORIDA	
	Ethics, and Risk Office	PUTENTIAL DUISIDE ACTIVITY, EMPLOYMENT, AND CONFLICT OF INTEREST AND COMMITMENT DISCLOSURE (AA-21)	na Dariadi 09/09/2014 - 09/07/2015
	Office of Research &		ng Pendal 08/08/2014 - 08/07/2013
	System Training	Purpose: The purpose of this disclosure is to ensure that all faculty, executive service, post-doctoral employees, and select individuals identified in university positions of trust, or other employee typ	es engaged in the design, conduct,
nse	Definitions	and reporting of research at UCP have no unresolved conflicts between their primary university commitments and their <u>outside activities</u> , interests, and commitments. This disclosure con of the Board of Governors (BOG) and the University of Central Florida (UCP): provisions of the Board of Trusteen-United Faculty of Florida Collective Barcaining Agreement: and pump	forms with <u>Florida Statutes</u> ; policies 5 federal ouidelines. This disclosure
	Monitoring Plans )	establishes specific facts to help your supervisor and other appropriate university officials determine whether a potential conflict exists so they can manage or eliminate the conflict when potential conflict exists so they can manage or eliminate the conflict when potential conflict exists are the conflict exists ar	ssible. If a conflict is identified by your
	Annual Updates )	supervisor or outer appropriate university on case, you will be noulied and use connect must be resolved.	
in the		Procedure: This form must be completed at least annually, reparchess of whether or not there are any outside activities, interests, or commitments to report. Failure to disclose the required information of the second	tion in a timely fashion is
		insubordinate and subject to disciplinary action up to termination of your employment with the university. An amended disclosure form must be submitted at any subsequent point is become anexes and disclosure form and the analysis and the second method with the second method.	t during the reporting period that
ress		to becomes necessary to discusse any new or anticipated <u>outside activity</u> , interest, or commitment expected to occur auring that reporting period. Itemis and compile potential conflicts of interest and commitment protects you from suspicion and accusations of noncompliance. Information on policies, regulations, and requirements, as well as direct	tions for completing the <u>potential</u>
		conflicts of interest & commitment form and the review process, is available on the University Compliance, Ethics, and Risk website. A list of <u>definitions</u> for some of the terms selecting the linked words. For assistance you may also contact the Potential Conflicts Administration email, <u>PCAQuef.edu</u> .	referenced below is available by
• • •		NOTE: All questions in this disclosure form refer to activities planned during this reporting period, August 8, 2014 through August 7, 2015. An amended disclosur subsequent point during the reporting period to disclose new or anticipated <u>outside activities</u> , interests, or commitments expected to occur during that reporting	e form must be submitted at any period. All <u>outside activities</u>
tivitv		must be submitted for review and approval in advance of engaging in the <u>outside activity</u> . For each question answered "Yes", all sub-questions that appear are req Upon answering all sub-questions, use the "Add/Save Response" button to submit your answers to the question. Multiple responses may be submitted to each que	uired and must be answered. extion.
<b>j</b>			
9. During the current reporti departmental or project fund	ng period do yo is) to purchase	u intend to <u>commit university resources (i.e., personnel, materials &amp; supplies, equipment, facility use,</u>	from hiss ran iting from an
officer, partner or proprieto	r of the <u>entity</u> , h	ave a material interest (direct or indirect ownership) of 5% or more of the total assets or capital stock	orting of the research.
of the business <u>entity</u> , and/c sponsored funding activity to	or hold any emp or the university	loyment or contractual relationship with the <u>entity</u> ? You must report proposed subcontract SBIR/STTR from any entities owned or managed by you and/or your immediate family members.	
Response: () Yes () No		······································	tional responsibilities), at 12 months and during
Entity Name:		•	
	The Add New Er	iny	sional responsibilities),
Sponsoring your research: (	Yes No		your behalf) in the last 12
Are you or your immediate f	amily an office		
Do you or your immediate fa	mily have a m		
Do you or your <u>immediate fa</u>	mily hold any	I will not engage in this activity or activity has a sectivity has a sectiv	as ended
In accordance with EE 112.2	12(12)(5) (5)	OR I need to edit this resu	onse 🙆 📗
accordance with 13 112.5	15(12)(a) - (1)	on Theed to dure this resp	
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Responses:			T
Entity Name:	3M Compa	any I will not encade in the activity has ended	
Sponsoring your research:	Yes	need to edit this response G	1
Intellectual property rights	Yes		
Managerial Position?:	Yes		
Position Held:	Board of [	Director	
Party:	Self		
Material Interest?:	Yes		
Party:	self		
Employment or Contractual			
Relationship?:	Yes		
relationship:	I receive	compensation for the Board postion I hold.	
Party:	Self		
In accordance with FS 112.: (12)(a) - (j) exemptions, an exempt?:	813 re you No		
	🕅 Exen	notion Form (Original Filename: Exemption docx) Filesize:	



## Uploading a Monitoring Plan

Select link to

monitoring plan

download

# If the form has been returned to you to upload a <u>Monitoring Plan</u>:

- 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.

Review:

• 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.

Conflict Identified, Monitoring Plan Required:

- 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 p departmental or project funds) to officer, partner or proprietor of t of the business <u>entity</u> , and/or ho <i>sponsored funding activity to the</i> <b>Yes</b>	eriod do you intend <u>to commit university resources (i.e., personno</u> o <u>purchase goods and services from or provide services to</u> any <u>er</u> he <u>entity</u> , have a material interest (direct or indirect ownership) i di any employment or contractual relationship with <u>the <u>entity</u> you university from any entities owned or managed by you and/or yo</u>	el, materials & y utity in which y y of 5% or more of nu must report pro our <u>immediate</u> i m	[R] Upload <u>formatted monitoring plan</u> : Browse [R] Monitoring Plan Options:	format. Press "Browse" to locate the file
Responses:		Review:	Opload monitoring plan	on your
Entity Name:	3M Company	Conflict Ident fi	<ul> <li>I will not engage in this activity or activity has ended</li> </ul>	computer and
Sponsoring your research:	Yes	[P] Upload form		unload to the
Intellectual property rights:	Yes	[k] opload <u>rot n</u>		
Managerial Position?:	Yes		Suhada Jayasuriya	form.
Position Held:	Board of Director	[R] Monitoring P	to (th /poth po. (CAM), Coefficient Manual and Disc	
Party:	Self	Opload monto	10/11/2011 09:46AM: Conflict Identified, Monitoring Plan	
Material Interest?:	Yes		Required	Choose the 2 <sup>nd</sup>
Describe material interest:	I have a 25% interest in the company.	Suhada Jayasur		Choose the 2
Party:	Self	10/11/2011 09:4	Comments: Since this company is sponsoring your	option if you
Employment or Contractual Relationship?:	Yes	Comments: Sho research, a mun	research, a monitoring plan is required.	decide not to
Describe contractual relationship:	I receive compensation for the Board postion I hold.			and a solution the
Party:	Self			engage in the
In accordance with FS 112.313 (12)(a) - (j) exemptions, are you exempt?: Exemption Form:	No           B         Exemption Form (Original Filename: Exemption.docx) Filesize:	$\bigcirc$		activity.
	144 KB Uploaded: 10/11/2011			L



# Selecting the Monitoring Plan

# **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/

<b>UCF</b>	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
listed below (the Entity).	
Employee Name:	
University Position:	
% Full Time Equivalent (FTE)	
Faculty Appointment Type	N/A 9 month 12 month 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 p approved for the corresponding Exemption. kip to Section 4

I disclosed a financial interest and/or outside activity that does not require an exemption from Florida Statutes, but will nly 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



This M

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 Addi Cost	Commun Francia		
Campus Phone:	Campus E-mail:		

Current Position: 0 9 month 0 12 month



### **Revising an Annual Update**

## 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.
- <u>Each question provides a format for the annual update</u>. Ensure you followed the format indicated and then adjust your file according to the comments.





**Need Help?** 

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