How to Submit a COI Disclosure in Cayuse

Office for Research Compliance

June 2021
Background

- **Cayuse** will replace Formstack (i.e., Statement of Financial Interest) for submitting COI disclosures.
- An *Annual Disclosure* must be submitted **each year during the month of September**
- A **revised** Disclosure should be submitted within 30 days of a significant change (i.e., new or increased significant financial interest)
- Disclosure is required for **all senior or key project personnel**
What are you required to disclose?

**Significant Financial Interests**

**SFI** = Anything of actual *or potential* monetary value that appears to be reasonably related to (or is in the same field of expertise as) the investigator’s institutional responsibilities.

- *Institutional responsibilities* include research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels (e.g., IRB, Data and Safety Monitoring Boards, grant review panels).
SFIs include the following:

- **Remuneration** = salary or other payments for services (e.g., consulting, honoraria, paid authorship).
  - If aggregate value exceeds $5,000 for a publicly traded entity in last 12 months
  - Any interest (of any amount) in a privately held entity

- **Equity interests** = stock, stock options, or other ownership interests.

- **Intellectual property rights** (e.g., patents, copyrights, licensing agreements, and royalties from such rights)

- **Reimbursed or sponsored travel**

- **Ownership in companies and leadership positions**
Common examples of SFIs:

• Income, payments, or honoraria received for:
  • Consulting services
  • Providing expert testimony
  • Serving on a board of directors, scientific advisory board, committee, panel or commission sponsored by a for-profit or non-profit organization (including professional or scholarly societies);
  • Acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts, or grant or contract proposals for a non-profit or for-profit organization;
  • Any salary received outside of UA

• Stock or stock options in a company that is developing, manufacturing, or selling products or providing services used in an investigator's teaching, research, administrative, or committee responsibilities.

• Receipt of income from any non-UA organization for use or sale of patented or copyrighted IP, such as software, textbooks, or other scholarly works for which royalties or licensing fees are received, including income from previous employers and other universities.
• A disclosure MUST be submitted at least annually **even if you have no SFIs to report.**

• Cayuse allows a quick and easy way to update your SFI information from year to year so that you do not have to manually enter this each time.

• Reporting a SFI is not automatically considered a **conflict of interest.** Most cases do not result in a **COI.**
To complete your COI Disclosure:
Login using your myBama credentials at https://ua.app.cayuse.com/

1. Click My Profile below your name at top right corner
2. Click COI Disclosures on left

![My Profile screenshot]
Click **New Disclosure** to begin:

- Start a new **Annual** disclosure.
- Start a new **Research-Based** disclosure.
There are 6 sections to the form:

I. General Questions

II. Services, Equity, or Ownership Interests

III. Travel

IV. Research and Sponsored Programs

V. Institutional Responsibilities

VI. Certification
I. General Questions

These items are being requested in fulfillment of federal regulatory requirements. **This form replaces the Statement of Financial Interest previously submitted through Formstack.

External/Outside Activities *
Have you had, or do you plan to engage in any professional activities outside of UA?
- No
- Yes

External Activities *
It is a requirement to review the policy for the Disclosure of External Activity By Faculty and Other Research Grant and Contract Eligible Employees
- I confirm that I have read the policy.
If you have filed a *Notice of Intent for External Activity*, you will need to attach a copy of the completed form (see [http://ovpred.ua.edu/policies/](http://ovpred.ua.edu/policies/)).

**NOTE:** The *Cayuse Annual Disclosure* is a separate requirement which is processed through the Office for Research Compliance.
I. Income or Fees for IP

Have you received income or fees received for intellectual property rights (e.g., patents, copyrights, licensing agreements, royalties)? If so, please provide the following information *

- No
- Yes

SFI-Intellectual Property
Provide the details of the IP starting with selecting the outside entity for which fees or income for IP rights was received.

No entries.

To identify a company/entity/organization with which you have an interest, click Add New Relationship as shown above
# SFI Information Required for IP

**SFI-Intellectual Property**  
Provide the details of the IP starting with selecting the outside entity for which fees or income for IP rights was received.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select Organization</td>
<td>No external organization selected. Find external organization.</td>
</tr>
<tr>
<td>Title of the IP</td>
<td></td>
</tr>
<tr>
<td>Amount</td>
<td>$</td>
</tr>
<tr>
<td>Calendar Year</td>
<td></td>
</tr>
<tr>
<td>Patent Issued? If so, list the patent number.</td>
<td></td>
</tr>
<tr>
<td>Copyrighted? If so, list the copyright number.</td>
<td></td>
</tr>
<tr>
<td>Optioned? If so, name the option holder</td>
<td></td>
</tr>
<tr>
<td>Licensed? If so, name of the licensee</td>
<td></td>
</tr>
<tr>
<td>Describe how this IP relates to your research.</td>
<td></td>
</tr>
<tr>
<td>List all inventors, authors, or creators of the IP and the institution, or company affiliation of each.</td>
<td></td>
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</tbody>
</table>
To add a company/entity/organization:

Click Find External Organization
Search for the external organization

- Type org name in Search field *(1)*
- Select the org from the drop-down menu
- Click the blue add sign on the far right *(2)*
- Save *(3)*
- The org will now appear in the SFI field on the main form
- Complete the remaining fields (see next page)
Section 1 is now complete. Scroll back up to the top of the screen and click Next to continue.
II. Services/Equity/Ownership Interests

- Have you received at least $5,000 as compensation or payment for work or services performed (e.g., consulting fees, speaking fees, editorial fees, advisory board fees, honoraria, gifts, paid authorship) or income from activities sponsored by a foreign government, institution, or organization within the past 12 months?*

- Do you hold at least $5,000 in equity (e.g., stock, stock options, ownership interests) in a publicly-traded company, enterprise, or entity? *

- Do you hold equity or ownership interests (of any amount) in a private company, enterprise, or entity related? *
SFI Information required for **Services/Equity/Ownership**

<table>
<thead>
<tr>
<th>SFI - Services</th>
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<tbody>
<tr>
<td><strong>Select Organization</strong> *</td>
</tr>
<tr>
<td>No external organization selected. <a href="#">Find external organization</a></td>
</tr>
<tr>
<td><strong>Type of Company, Enterprise or Entity</strong></td>
</tr>
<tr>
<td><strong>Type of Activity</strong></td>
</tr>
<tr>
<td><strong>If Other, Please Identify</strong></td>
</tr>
<tr>
<td><strong>Actual or Estimated Value of Interest</strong></td>
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</table>
III. Travel

• Provide information about *previous travel* (last 12 months) and *upcoming travel*.

• **Exclude** travel covered by federal/state/local government, U.S. institutions of higher ed, academic teaching hospitals, medical centers, and U.S. academic research institutes.
SFI Information required for **Travel**

Select the organization and then complete the remaining fields:

<table>
<thead>
<tr>
<th>SFI - Upcoming Travel</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Provide the details of the travel starting with selecting the company, entity, or organizer of the travel.</td>
<td></td>
</tr>
<tr>
<td><strong>Select Organization</strong></td>
<td></td>
</tr>
<tr>
<td>No external organization selected. <a href="#">Find external organization</a></td>
<td></td>
</tr>
<tr>
<td><strong>Start date of travel</strong></td>
<td></td>
</tr>
<tr>
<td><strong>End date of travel</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Destination of the travel</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Purpose of Travel</strong></td>
<td></td>
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<tr>
<td><strong>Will your spouse or dependent children travel with you?</strong></td>
<td></td>
</tr>
<tr>
<td>Select a value...</td>
<td></td>
</tr>
<tr>
<td><strong>If yes, who will pay for their travel?</strong></td>
<td></td>
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</tbody>
</table>
IV. Research & Sponsored Programs

Research and Sponsored Programs

Do you have any sponsored research or service agreements that are supported by a grant or contract (including subcontracts/subawards) from a company, enterprise, or entity in which you or your immediate family has an equity interest, employment or consulting arrangement, or other financial interest? *

- [ ] No
- [ ] Yes

Sponsored Research or Service Agreement Details *

Please describe:

<table>
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<tr>
<th>Format</th>
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<th>L</th>
<th>L</th>
<th>Link</th>
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<td></td>
</tr>
</tbody>
</table>

Research and Sponsored Programs *

Please check all that apply below regarding your research and sponsored programs. (Sponsored Program means research, training, and instructional projects or activities involving funds, materials, or other compensation from external sources.)

- [ ] My research or sponsored program is funded by a PHS/CHS agency (e.g., NIH, CDC, SAMHSA).
- [ ] My research or sponsored program is funded by NSF or another federal agency.
- [ ] My research or sponsored program is funded by a non-profit or foundation.
- [ ] My research or sponsored program involves human subjects [NOTE: Information regarding CDI related to HSR is required to be provided to the IRB].
V. Institutional Responsibilities

Do you currently have any institutional responsibilities which could affect the financial interests of the company, enterprise, or entity with which you are affiliated?*

- No
- Yes

Institutional Responsibilities
Please describe how your institutional responsibilities could affect the financial interests of the entity for which you are affiliated.

Format: B / L / L / Lists / Link

You have reached the end of section 5 of 6.
Please scroll to the top of the page to navigate to the next section.
VI. Certifications

There are 9 statements to certify:

1. I certify that the above information is accurate to the best of my knowledge and that I have read and understand the University of Alabama's Policy on Conflict of Interest/Financial Disclosure in Research and Other Sponsored Programs, Ethics Policy, and Faculty or Staff Outside Employment Policy.
   - I agree

2. I understand that this form does not approve external activities. See "Policy for the Disclosure of External Activity by Faculty and Other Research Grant and Contract Eligible Employees".
   - I agree

3. I certify that I have disclosed all potential financial interests as required by all UA policies, including these policies.
   - I agree

4. I certify that ALL employment and appointments outside of UA are disclosed.
   - I agree
Certifications...

I agree to comply with the provisions of LA policies and to report changes in my financial interests immediately. *
- I agree

I certify that I will submit an updated financial disclosure within 30 days of any changes. *
- I agree

I certify that the information provided in the Biosketch related to this disclosure is accurate and meets the funding agency’s required format. *
- I agree

I certify that all current and pending funding and associated sources are fully disclosed. *
- I agree

Furthermore, I agree to comply with conditions or restrictions imposed by LA to manage, reduce, or eliminate actual or potential conflicts of interest. *
- I agree

You have reached the end of section 6 of 6. Please scroll to the top of the page to navigate to submit the form.
NOTE:
• You may save your work and resume later.
• You may skip sections and go back to them later.
• **Incomplete sections will be indicated in red. You must complete these in order to submit the form.**
Once done, you should see a **green checkmark** beside all 6 sections of the form. You may then **Submit** your form.

This means you’re ready to submit!
• Once submitted, your status will display as **Under Pre-Review**.
• You will also receive an email confirmation from Cayuse COI.
• Following initial review, you may be asked to provide additional information. *If so, you will need to log back into the system to do this.*
• Once your disclosure has been fully processed, you will receive another email from Cayuse COI.

<table>
<thead>
<tr>
<th>Disclosure Name</th>
<th>Status</th>
<th>Submission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual - 2021</td>
<td>Under Pre-Review</td>
<td>06/17/2021 4:48 PM</td>
</tr>
<tr>
<td>Annual - 2021</td>
<td>Under Review</td>
<td>04/20/2021 2:47 PM</td>
</tr>
<tr>
<td>Annual - 2021</td>
<td>Disclosure Complete</td>
<td>04/20/2021 2:44 PM</td>
</tr>
</tbody>
</table>
For questions or assistance, please contact:

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